

# PAPERWORK REDUCTION ACT SUBMISSION

**Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

1. Agency/Subagency originating request	2. OMB control number <span style="float: right;">b. <input type="checkbox"/> None</span> a. _____ - _____
3. Type of information collection ( <i>check one</i> ) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested ( <i>check one</i> ) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated
	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) ( <i>if applicable</i> )	
9. Keywords	
10. Abstract	
11. Affected public ( <i>Mark primary with "P" and all others that apply with "x"</i> ) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond ( <i>check one</i> ) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden ( <i>in thousands of dollars</i> ) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection ( <i>Mark primary with "P" and all others that apply with "X"</i> ) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting ( <i>check all that apply</i> ) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission)  Name: _____ Phone: _____

## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

**NOTE:** The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator, Deputy Assistant Administrator, Line Office Chief Information Officer, head of MB staff for L.O.s, or of the Director of a Program or StaffOffice)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

**SUPPORTING STATEMENT**  
**ECONOMIC SURVEYS FOR U.S. COMMERCIAL FISHERIES**  
**OMB CONTROL NO. 0648-0369**

This request is for an OMB Paperwork Reduction Act (PRA) clearance of an extension to the “Economic Performance Data for West Coast (California – Alaska) Fisheries,” OMB No. 0648-0369, to include the East Coast, Caribbean, Gulf of Mexico and Pacific Islands fisheries. To reflect the expanded geographic scope of this PRA clearance request, the title of OMB No. 0648-0369 would be changed from its current title to “Economic Surveys for U.S. Fisheries.” As in the initial clearance, a generic list of potential questions is presented for four types of operations: catcher and charter boat vessels, catcher/processor vessels, motherships, and shoreside processors. In addition to expanding the geographic scope of the initial clearance, a short list of demographic questions has been appended to the list of potential questions for each type of operation. In addition, four questions have been added to each potential list of questions for shoreside processors, motherships and catcher/processors and a total of 18 questions have been added to the catcher vessels and charter boat potential list of questions, reflecting both differences in fishing practices and industry structure in these regions.

**1. Explain the circumstances that make the collection of information necessary.**

Commercial fisheries economic data collection programs implemented by NOAA Fisheries (NMFS) address statutory and regulatory mandates to determine the quantity and distribution of net benefits derived from living marine resources as well as predict the economic impacts from proposed management options on commercial harvesters, shoreside industries, and fishing communities. In particular, these economic data collection programs contribute to legally mandated analyses required under the Magnuson-Stevens Fishery Conservation and Management Act (MFCMA), the National Environmental Policy Act (NEPA), the Regulatory Flexibility Act (RFA), Executive Order 12866 (EO 12866) as well as a variety of state statutes including Florida Statute 120-54, Hawaii Revised Statute 201M-2, New Jersey Permanent Statutes 52:14B-19, and Oregon Revised Statutes 183.335 and 183.540.

The lack of economic data in the majority of federally-managed fisheries has stymied NMFS’ ability to conduct these analyses and has led to lawsuits and regulatory challenges of fisheries policies in the last several years, resulting in overturned rebuilding objectives, biologically unsustainable total allowable catches, and eroded confidence in NMFS’ decision making process and social sciences capability. Expanded commercial fisheries economic data collections will improve the scientific foundation of the Agency’s policies and help decision makers weigh the economic impacts of their decisions. It is important to note that a key feature of the federal regulatory process is that NMFS cannot simply implement a regulation to achieve a conservation goal but instead must consider a suite of management alternatives. Economic analyses can identify the alternative that minimizes losses to stakeholders while still achieving conservation goals, allowing NMFS to be proactive, rather than reactive, in its resource management strategy.

For these reasons, the collection of economic data in commercial fisheries has received a top priority in the NMFS Social Science Plan, the NMFS Strategic Plan and the NOAA Science

Advisory Board.<sup>1</sup> In addition, NMFS regional offices, commissions and councils also recognize the need for commercial fisheries economic data, e.g., see the Pacific Fisheries Management Council's report "*West Coast Research And Data Needs*" as well as the Northeast Fisheries Science Center report "*Data Needs For Economic Analysis Of Fishery Management Regulations*." The need for commercial fisheries economic data has also been identified by external sources, including the Kammer report, General Accounting Office (GAO) reports and National Research Council (NRC) reports.<sup>2</sup>

## **Background**

### **MFCMA**

The MFCMA establishes eight regional Councils, each of which is charged with the preparation of fishery management plans and plan amendments with respect to each fishery within its geographic area of authority requiring management. Each fishery management plan (FMP) prepared by a Council, or by the Secretary of Commerce, must contain conservation and management measures that are consistent with the national standards, and any other applicable law; and a description of the fishery including actual and potential revenues from the fishery [MFCMA Section 303(a)(2)] (see Attachment A). Plans and plan amendments must also include a fishery impact statement that assesses, specifies, and describes the likely effects of proposed measures on participants in the fisheries affected [MFCMA Section 303(a)(9)(A)].

The national standards referenced above require that conservation and management measures, where practicable, promote efficiency in the utilization of fishery resources; except that no such measure shall have economic allocation as its sole purpose [MFCMA Section 301(a)(5)]. Thus, appropriate descriptions of the fishery and assessments of the effects of management actions must include economic information. In particular, cost and revenue information is necessary to evaluate the effects of proposed measures on efficiency. Cost and revenue information is also necessary to anticipate the likely effects of proposed measures on participants in the fishery.

With respect to analyzing the effects of proposed regulations, MFCMA requires that "rebuilding or conservation and management measures which reduce the overall harvest in a fishery are necessary, allocate any harvest restrictions or recovery benefits fairly and equitably among the commercial, recreational and charter fishing sectors in the fishery" [MFCMA Section

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<sup>1</sup> Performance metrics cited within the NOAA Strategic Plan include the number of FMPs with complete economic data (variable cost, annual operating cost and revenue) collected for commercial harvesters and the number of FMPs for which net benefits can be calculated.

<sup>2</sup> See "An Independent Assessment of the Resource Requirements for the National Marine Fisheries Service: A Report to the Deputy Under Secretary, NOAA and the Assistant Administrator, National Marine Fisheries Service," prepared by Ray Kammer, June 2000. In addition, recent National Research Council publications that identify the need for commercial fisheries economic data include "Marine protected areas: tools for sustaining ocean ecosystems" (2001); Improving the collection, management, and use of marine fisheries data" (2000); and "Sharing the fish: toward a national policy on individual fishing quotas (1999). Recent GAO publications recognizing the importance of commercial fisheries economic data include "Individual Fishing Quotas: Better Information Could Improve Program Management" (2003); Commercial Fisheries: Entry of Fishermen Limits Benefits of Buyback Programs (GAO/RCED-00-120); and Fishery Management: Problems Remain With National Marine Fisheries Service's Implementation of the Magnuson-Stevens Act (GAO/RCED-00-69).

303(a)(14)]. Again, to allocate any potential benefits or losses from recovery plans or harvest restrictions requires cost and revenue data on participants in the fishery.

With regards to information relating to communities the MFCMA requires that ‘conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities in order to (A) provide for the sustained participation of such communities, and (B) to the extent practicable, minimize adverse economic impacts on such communities’ [MFCMA Section 301(a)(8)].

Acting under authorities provided in the MFCMA, the Council and Secretary of Commerce have implemented 47 FMPs each of which addresses socio-economic characteristics and issues associated with the fishery. For example, the West Coast groundfish FMP includes a framework for development and evaluation of management decisions having substantial socio-economic implications (Section 6.2.3 of the Pacific Coast Groundfish Plan) (see Attachment B). Where management is necessary to address socio-economic issues the Council must prepare a report which addresses the achievement of goals and objectives of the FMP, economic impacts and how the proposed action will address at least one of 15 items including: maintaining stability in the fishery, increasing economic yield and increasing fishing efficiency. With respect to allocation actions, the Council must consider such factors as present participation in and dependence on the fishery, including alternative fisheries, historical fishing practices in and historical dependence on the fishery as well as consistency with MFCMA standards. FMPs prepared by other Councils address issues comparable to those addressed in the groundfish FMP.

## **NEPA**

NEPA requires federal agencies to consider the interactions of natural and human environments, and the impacts on both systems of any changes due to governmental activities or policies. This consideration is to be done through the use of "a systematic, interdisciplinary approach, which will ensure the integrated use of the natural and social sciences . . . in planning and in decision-making..." (NEPA Section 102(2)(A) (see Attachment C) and, further, to “identify and develop methods and procedures..., which will insure that presently unquantified environmental amenities and values may be given appropriate consideration in decision making along with economic and technical considerations (NEPA Section 102(2)(B)). In addition, NOAA’s NEPA implementation guidelines require that the environmental impact statement (required under NEPA Section 102(2)(C)(i)) must include both economic and social consequences.<sup>3</sup>

## **EO 12866**

EO 12866 requires an assessment of all costs and benefits of available regulatory alternatives. Under EO 12866, when choosing among regulatory approaches, agencies should select those approaches that maximize net benefits. (EO 12866 Sec. 1 (a)) (see Attachment D). In addition, EO 12866 states that "Each agency shall base its decisions on the best reasonably obtainable scientific, technical, economic and other information concerning the need for, and consequences of, the intended regulation." (EO 12866 Sec. 1 (b) (7)).

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<sup>3</sup> For NOAA’s NEPA implementation guidelines see, NOAA Administrative Order (NAO) 216-6, "Environmental Review Procedures for Implementing the National Environmental Policy Act," May 20, 1999.

This executive order, combined with the MFCMA national standard on use of best scientific information available, obligate NMFS to seek clearance for the collection of the information necessary to meet decision standards set out in the national policies outlined above. Regardless of what action the Council and Secretary take with respect to management of federal fisheries for 2003 and beyond (including no action alternatives), economic information is needed to meet the requirements listed above.

## **RFA**

The RFA requires federal agencies to fully analyze the effects of regulations to determine whether an action will "have a significant economic impact on a substantial number of small entities" [NMFS "Operational Guidelines Fishery Management Plan Process"]. At a minimum, sufficient information is necessary to allow a determination of whether the impacts will be "significant." Determination of the significance of impacts requires cost and revenue information for the specific activity in question (fish harvest and processing) as well as some level of general information on the full range of income producing activities in which firms are engaged.

## **State Regulatory Needs**

The economic data collected under this clearance request may be shared with state regulatory agencies with the proper confidentiality agreements. The economic data will enhance these agencies ability to conduct their legislatively mandated analyses (described below and in more detail in Attachment E).

### **A. Alaska Statutes 16.05**

Under this statute, the Commissioner of the Department of Fish and Game shall "manage, protect, maintain, improve, and extend the fish, game and aquatic plant resources of the state in the interest of the economy and general well-being of the state" (AS16.05.020(2)). Alaska Statues 16.05.251 (e) 5 and 6 allow the Alaska Board of Fisheries to 'allocate fishery resources among personal use, sport, guided sport, and commercial fisheries' using such criteria as 'the importance of each fishery to the economy of the state' (AS 16.05.251 (e) 5) and 'the importance of each fishery to the economy of the region and local area in which the fishery is located' (AS 16.05.251 (e) 6) as appropriate to particular allocation decisions. This statute suggests the need for economic data sufficient to provide a measure of these levels of importance.

### **B. Florida Statute 120-54**

**120-54(1)(d)** states that when adopting rules, all agencies must, among the alternative approaches to any regulatory objective and to the extent allowed by law, choose the alternative that minimizes the regulatory costs imposed on the regulated person, county, or city but still substantially accomplishes the statutory objectives.

### **C. Hawaii Revised Statutes**

**201M-2** states that prior to submitting proposed rules for adoption, amendment, or repeal under Section 91-3, the agency shall determine whether the proposed rules affect small business, and if so, the availability and practicability of less restrictive alternatives that could be implemented. If the proposed rules affect small business, the agency shall consider creative, innovative, or flexible methods of compliance for small businesses and prepare a small business impact statement that provides a reasonable determination of the businesses that will be directly affected

by, bear the costs of, or directly benefit from the proposed rules; a description of the small businesses that will be required to comply with the proposed rules and how they may be adversely affected; an assessment of both direct costs and indirect costs associated with compliance; and the methods considered or used to reduce the impact on small businesses.

#### **D. New Jersey Permanent Statutes**

**52:14B-19** states that when proposing a rule for adoption, an agency must conduct a regulatory flexibility analysis regarding the rule. Each regulatory flexibility analysis shall contain a description of the types and an estimate of the number of small businesses to which the proposed rule will apply as well as an estimate of the initial capital costs; an estimate of the annual cost of complying with the rule, with an indication of any likely variation in the costs for small businesses of different types and of differing sizes; and an indication of how the rule is designed to minimize any adverse economic impact of the proposed rule on small businesses.

#### **E. Oregon Revised Statute 183.335**

Oregon Revised Statute (ORS) 183.335 addresses the adoption, amendment or repeal of any state rule. Specifically, this statute requires a statement of fiscal impact identifying state agencies, units of local government and the public which may be economically affected by the adoption, amendment or repeal of the rule and an estimate of that economic impact on state agencies, units of local government and the public. In considering the economic effect of the proposed action on the public, the agency shall utilize available information to project any significant economic effect of that action on businesses that shall include a cost of compliance effect on small businesses affected. Determination of economic effects requires cost and revenue information for the specific activity in question (fish harvesting and processing) as well as some level of general information on the full range of income producing activities in which firms are engaged.

#### **F. Oregon Revised Statute 183.540**

ORS 183.540 states that “when the economic effect analysis shows that the rule has a significant adverse effect upon small business and, to the extent consistent with the public health and safety purpose of the rule, the agency shall reduce the economic impact of the rule on small business by: (1) Establishing differing compliance or reporting requirements or time tables for small business; (2) Clarifying, consolidating or simplifying the compliance and reporting requirements under the rule for small business; (3) Utilizing objective criteria for standards; or (4) Exempting small businesses from any or all requirements of the rule’. Much like RFA, this statute requires sufficient information to establish significance. Further, ORS 183.545 requires that each agency “periodically, but not less than every three years, shall review all rules that have been issued by the agency. The review shall include an analysis to determine whether such rules should be continued without change or should be amended or rescinded, consistent with the stated objectives of applicable statutes, to minimize the economic effect on businesses and the effect due to size and type of business”.



**2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.**

Information will be collected using a series of surveys of the industry conducted by NMFS, NMFS' contractor(s) or by NMFS in conjunction with the marine fisheries commissions (Pacific States Marine Fisheries Commission, Gulf States Marine Fisheries Commission and the Atlantic States Marine Fisheries Commission). A two-prong approach to data collection will be adopted. In the majority of fisheries, data collections will focus each year on a different component of the U.S. commercial fisheries, with only limited data collected in previously surveyed components of these fisheries. These surveys will be administered to different strata of the harvesting and processing industry over the next three years. No segment of the industry will be surveyed more than once in this time span. It is anticipated that one or two surveys will be conducted in each NMFS region each calendar year.

In a limited number of fisheries, the approach adopted will result in an ongoing economic data collection program. Economic data collection programs will only be initiated in a) high-profile fisheries with significant seasonal variation; and b) fisheries with an existing data collection program to which economic questions can be appended with minimum burden on the respondent. Examples of the latter include appending trip-specific economic questions to observer and logbook programs survey vehicles. The number of questions asked under an economic data collection program will be far more limited than those asked in a one-time survey, which have estimated average response times of approximately 10 minutes and two hours, respectively.

All information collected in the survey will be used to provide information on potential impacts of the NMFS, fishery management councils, and states management decisions on the fishing industry. In general, analysis of cost and revenue information for harvesting and processing and other activities of the vessel or plant will allow analysts to estimate:

- Net economic value to the nation
- Economic health of the fishery
- Effects on business efficiency
- Community income impacts
- Firms' economic dependence on the fishery
- Economic impacts of proposed regulations, including area closures, gear restrictions, catch restrictions, etc.
- Distribution of economic impacts from proposed regulations and, in particular, the significance of impacts on small businesses
- Likelihood of bankruptcies
- Effects on international competitiveness

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the preceding paragraphs, the information gathered has utility. NOAA Fisheries or a designated marine fisheries commission will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic

information. See response #10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

A copy of a proposed economic add-on to an observer program is included in Attachment F and a copy of an economic survey (including instructions and letters to the industry) used in past data collection exercises is included as Attachment G. Final survey instruments will be provided with each data collection clearance request initiated under this PRA approval.

In addition to the sample surveys, Attachments H through K are lists of potential questions for each of the four industry types, catcher and charter vessels, shoreside processors, motherships and catcher/processors. These lists comprise a source for questions for future surveys. The following is a summary of the need for each type of question.

### **Catcher & Charter Boat Surveys - Attachment H**

**Question 1. Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

**Question 2. Ownership:** Questions regarding ownership are useful in terms of social interest, however, evaluation of owner participation also plays a role in predicting whether marginal vessels will stay in business. For example, the owner of a vessel with zero or slightly negative net profits may decide to remain in the fishery if the owner is deriving a wage from personally operating a vessel. On the other hand, an owner who hires a skipper may be more likely to choose to exit the fishery under a similar circumstance.

**Question 3. Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, including limited entry permits, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods that in turn are used to calculate net economic benefits to the nation of industry participation as well as for conducting financial analyses as required by the Regulatory Flexibility Act.

**Question 4. Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed expenses of participation must be allocated between alternative fishing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5. Operating Costs:** This information is necessary to estimate the net value of participation in the fishery; calculate producer surplus and short-run economic and financial profit measures; assess the change in net benefits caused by proposed management actions; and is used in the Fishery Economic Assessment Model and IMPLAN Model to estimate economic impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities; (2) estimating the income impacts if a projection is made that a vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e., if fixed operating expenses are not covered) and (3) assessing, in combination with catch and revenue information, the relative importance and dependence of the vessel on harvesting versus other income producing activities of the vessel.

**Question 6. Effort/Gear Descriptors:** These questions are useful in helping the analyst describe and quantify effort on the fishing grounds in terms of gear deployed. This information could be used in developing models of efficient fleet size to support such activities as fleet reduction programs, as well as provide information on the level of capitalization within the various sectors of a fishery.

**Question 7. Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

For deliveries made onshore, questions about revenue are important to capture end-of-year settlements or in-kind payments not reflected in the fish tickets. For vessels delivering to motherships, these questions are particularly important because there are no fish ticket records for at-sea landings. Information on revenue from other fisheries is needed because of similar deficiencies in fish ticket records, and lack of access to confidential information for fisheries in some states.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8. Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation.

**Question 9. Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew share is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport (for vessels delivering to motherships). This information is particularly important in assigning community impacts for vessels delivering to motherships but is also useful when the vessel is active in multiple ports. While this

simplifying assumption was useful in the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10. Labor/Employee/Family:** This information is of interest in terms of effect on the fishing community and general community employment. Income-related questions will allow a systematic assessment of the degree to which individuals are engaged and dependent on fishing-related activities while questions on age, ethnicity, language and education will give social scientists a better grasp of issues related the socio-cultural background and specifically highlight potential Environmental Justice issues, such as vulnerability and marginalization.

**Question 11. Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

### **Shoreside Processor Surveys - Attachment I**

**Question 1. Plant Characteristics:** Little information currently exists on shoreside processing plants such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of plants to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2. Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent plants. Often, individual plants are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and plants. In addition, information on the company ownership of harvesting vessels plays a role in assessing the likely decisions of marginal plants to stay in business. Finally, plants with a wider species and product base, or plants that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3. Capital Costs and Land Costs:** This series of questions is designed to estimate market values and replacement costs of major existing assets, and economic life of these major assets. These economic values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a plant owner decides not to engage in any processing activity for a period of time. The fixed expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5. Operating Costs:** This information is necessary to estimate the net value of participation in the fishery; assess the change in net benefits caused by proposed management actions; and is used in the Fishery Economic Assessment Model and IMPLAN Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities and (2) estimating the income impacts if a projection is made that a plant might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e., if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data.

**Question 6. Effort:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7. Revenue:** Revenue information, when combined with cost information, can be used to derive net economic value. Revenue information is also needed from all activities in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery. In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8. Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9. Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the plant and, consequently, all wages are assumed to be spent in there. Similarly, current models assume all economic impacts occur in the plant port. However, given ownership of multiple plants in different ports by a single entity, these simplifying assumptions may be erroneous. The additional information solicited in these questions is necessary to provide the ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information more evenly distributed across sectors.

**Question 10. Labor/Employee/Family:** This information is of interest in terms of effect on the fishing community and general community employment. Income-related questions will allow a systematic assessment of the degree to which individuals are engaged and dependent on fishing-related activities while questions on age, ethnicity, language and education will give social

scientists a better grasp of issues related the socio-cultural background and specifically highlight potential Environmental Justice issues, such as vulnerability and marginalization.

**Question 11. Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids interpretation of changes in prices and costs.

## **Mothership Processor Surveys - Attachment J**

**Question 1. Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

Little information currently exists on at-sea processing vessels such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of vessels to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2. Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent operations. Often, individual operations are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and vessels. Also, operations with a wider species and product base, or operations that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3. Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5 Operating Costs:** This information is necessary to estimate the net value of participation in the fishery; assess the change in net benefits caused by proposed management actions; and is used in the Fishery Economic Assessment Model and IMPLAN Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities; (2) estimating the income impacts if a projection is made that a

vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e., if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data when they are available.

**Question 6 Effort/Crew Descriptors:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7 Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8 Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9 Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew payment is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport. This information is particularly important in assigning community impacts for vessels active in multiple fisheries, for example, West Coast whiting and Bering Sea Pollock. While this simplifying assumption was useful in the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10 Labor/Employee/Family:** This information is of interest in terms of effect on the fishing community and general community employment. Income-related questions will allow a systematic assessment of the degree to which individuals are engaged and dependent on fishing-related activities while questions on age, ethnicity, language and education will give social

scientists a better grasp of issues related the socio-cultural background and specifically highlight potential Environmental Justice issues, such as vulnerability and marginalization.

**Question 11 Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

### **Catcher/Processor Surveys - Attachment K**

**Question 1 Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics, and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

Little information currently exists on at-sea processing vessels such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of vessels to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2 Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent operations. Often, individual operations are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and vessels. Also, operations with a wider species and product base, or operations that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3 Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, including limited entry permits, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5 Operating Costs:** This information is necessary to estimate the net value of participation in the fishery; assess the change in net benefits caused by proposed management actions; and is used in the Fishery Economic Assessment Model and IMPLAN model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs



between different activities; (2) estimating the income impacts if a projection is made that a vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e., if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data when they are available.

**Question 6 Effort:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7 Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8 Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9 Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew payment is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport. This information is particularly important in assigning community impacts for vessels active in multiple fisheries, for example, West Coast whiting and Bering Sea Pollock. While this simplifying assumption was useful in the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10 Labor/Employee/Family:** This information is of interest in terms of effect on the fishing community and general community employment. Income-related questions will allow a systematic assessment of the degree to which individuals are engaged and dependent on fishing-related activities while questions on age, ethnicity, language and education will give social

scientists a better grasp of issues related the socio-cultural background and specifically highlight potential Environmental Justice issues, such as vulnerability and marginalization.

**Question 11 Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.**

To help reduce burden on the public, final versions of the surveys will be available on the Internet. In addition, for mail surveys, respondents will have an option of sending completed surveys via electronic mail or by facsimile machine. The appropriate electronic mail addresses or telephone numbers will be supplied with surveys mailed to fishing industry members.

**4. Describe efforts to identify duplication.**

In the development of each survey, every attempt will be made to identify whether other surveys are currently collecting similar data from a population that includes some potential respondents for the proposed data collection. Since NMFS economists will develop and/or oversee the development of the sampling frame for each survey, a crosscheck with all other economic survey sample frames will be done prior to finalizing a survey's sample frame can be easily accomplished. A potential respondent already providing comparable information under a similar survey may be excluded from the survey's sample frame.

In addition, in developing the survey instrument, a NMFS economist will either

- a) verify that a question does not duplicate a question on an existing survey instrument; or
- b) certify why the information collected under the existing data collection is inadequate, e.g., confidentiality restrictions.

**5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.**

Most of the catcher vessels and many of the processors affected by this information request are considered small business (gross receipts less than \$2 million per year and, for processors, fewer than 500 employees). The burden will be the same for all businesses, regardless of size, and has been minimized to collect only that information essential to regulatory analysis and modeling. Respondents should be able to derive the requested information from past income tax records, payroll records and fish management reporting records (including fish tickets and logbooks). No additional data aggregation by the respondents should be necessary to respond to these surveys.

In addition, in those fisheries in which a continuous economic data collection program is implemented, the survey form has been significantly reduced to 10-20 minutes by eliminating questions that will not change over the specified time frame. For example, the trip forms, which may collect information on trip expenses such as fuel or bait, do not collect on annual

expenditures such as annual permit or license fees, annual insurance costs, etc., since these expenditures would only change on an annual basis and not on a trip-by-trip basis.

Another area where the burden on the industry can be reduced is in regards to the vessel or plant characteristics questions. Some of these questions request an update of data that has been collected in the past. Where available, the survey instrument will provide the information as it is currently available and asks the respondent to submit corrections as necessary.

**6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

The standards for making substantial changes in the management of a fishery require a clear demonstration that benefits will increase as a result of the change in allocation. In the absence of adequate information, failure to demonstrate a substantial improvement in benefits does not necessarily mean that such a change would not generate those benefits; it simply means that the information was not available to demonstrate change. Alternatively, partially specified indicators of benefits, such as reliance on gross revenues rather than net revenues, could lead to a change which would decrease, rather than increase, net benefits to the nation. Therefore not collecting this information could prevent or misdirect decisions. The Council and Secretary would be in the position of relying on a combination of outdated information and information biased by too small a sample size.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

These information collections are consistent with OMB guidelines.

**8. Provide a copy of the PRA Federal Register notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

A Federal Register Notice (Attachment L) solicited public comment on this collection. No comments were received.

A number of people, both within agencies and the industry were consulted on the types of data elements necessary and available, recordkeeping disclosures, confidentiality of the data and timing of data collection exercises. Section B, No. 5 below has a partial list of Agency contacts; Attachment M includes a list of industry and government contacts that participated in the development of the generic lists of questions in the most recent clearance OMB No. 0648-0369. In addition, in Spring 2002 a two-day workshop was held with representatives from NMFS, PFMC, PSMFC, various Sea Grant programs, the fishing industry and others. This workshop focused on past data collection efforts with an eye toward minimizing the burden of future

collections while still providing the information necessary for management purposes. A report on this workshop is being developed.

**9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.**

There are no plans to provide any payment or gift to respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.**

The survey forms will contain the following language:

Under the authority of Section 402(b) of the Magnuson-Stevens Fishery Conservation and Management Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information a person submits to NOAA Fisheries (NMFS) [if implemented in conjunction with a fisheries commission, insert: "or the {insert name of marine fisheries commission}"] in response to this Survey shall be considered confidential and shall not be disclosed except to: (1) Federal employees and council employees who are responsible for fishery management plan development and monitoring, (2) to state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of the identity or business of any person; (3) {insert name of marine fisheries commission} employees who are employed under this contract; or (4) when required by court order. The NMFS [if implemented in conjunction with a fisheries commission, insert: "and {insert name of marine fisheries commission}"] will hold any contractors to the same standards."

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

The only potentially sensitive questions included in the generic list of questions are religion and household income. These questions will be collected directly from each individual -- not via the individual's employer.

Religion is an important variable because it may affect days when fishing is considered appropriate or inappropriate, requirements for using specific living marine resources in festivals, solidarity of social connections and support networks based on religious affiliation or membership in a particular congregation, among other things.

Household income can be an important indicator of household economic resiliency and can be an important factor to consider when evaluating regulatory alternatives. For example, all else equal, a regulation that disproportionately affects low-income households may be less preferred than one that more widely distributes economic impacts. In addition, combining respondents' household income information with home address data can be used to construct an indicator on community economic resilience, which may be useful when analyzing economic impact on

communities as required under National Standard 8 of the MFCMA [MFCMA Section 301(a)(8))] (see Attachment A).

**12. Provide an estimate in hours of the burden of the collection of information.**

The total burden hours are projected to be 5,225 hours per year. An estimate of the annual number of expected respondents and burden hours for the economic surveys are shown below. Note that the number of respondents is less than the number of responses (#13 of OMB83-I) because any survey that routinely collects trip cost data, e.g., the short 10-minute economic additions to an observer or logbook program (described in #2 above) may result in a vessel being surveyed multiple times in a given year.

Fleet	Expected # Respondents	Hours per respondent	Burden hours
East Coast, Caribbean, Gulf of Mexico and Pacific Islands catcher vessels, includes owner, captain, crew and/or other individual authorized to respond for vessel, e.g., accountant	7210	10 minutes-2 hours	4845
East Coast and Gulf shoreside processors, includes owner, employees and/or other individual authorized to respond for processing plant (e.g., plant manager, accountant, etc.)	190	1-2 hours	380
Total	7400		5225

**13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in #12 above).**

No additional cost burden to respondents or record keepers is anticipated.

**14. Provide estimates of annualized cost to the Federal government.**

No additional NMFS staff will be utilized other than those regularly assigned to support this collection of information mandated by law. In addition, no special or new equipment will be procured for the special purpose of conducting this information collection. In the Northeast Region, the annualized cost for NMFS to implement its economic surveys is estimated to be \$150,000 - \$200,000. In the Southeast Region, the annualized cost for NMFS to implement its economic surveys is estimated to be \$65,000. In the Pacific Island region, the annualized cost for NMFS to implement its economic surveys is estimated to be \$65,000.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.**

This program change results from expanding the geographic scope of this PRA clearance request from the West Coast (California – Alaska) to include the East Coast, Caribbean, Gulf of Mexico and Pacific Islands. This program change will result in an increase in the number of respondents and burden hours.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

The results from the proposed data collection are not planned for statistical publication. Data will be used as empirical input in descriptions of current economic performance in the commercial snapper-grouper and mackerel fisheries, and in evaluations of proposed regulations in the fisheries. Descriptive and analytical reports will include summaries of data and will not release or reveal confidential information.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

All forms will contain an OMB form approval statement, including the form approval expiration date.

**18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.**

No exceptions are noted.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

**1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local governmental units, households, or persons) in the universe and the corresponding sample are to be provided in tabular form. The tabulation must also include expected response rates for the collection as a whole. If the collection has been conducted before, provide the actual response rate achieved.**

For the U.S. commercial fishing fleet, which includes catcher vessels, catcher-processors and for-hire boats, the potential respondent universe is any boat that holds a federal or state permit or license, although in practice these surveys will primarily focus on boats actively participating in federally-managed fisheries. Based on information from U.S. Coast Guard files and federal permit files, it is estimated that there are at least 20,000 federally-permitted fishing boats, and possibly as many as 25,000-30,000 state fishing boats. Each of the economic surveys to be conducted under this OMB authorization will involve a subset of these boats that will vary according to the scope of the particular survey.

The information that will be used to develop the sampling strategy for an economic survey will vary by fishery but will generally come from three types of data collections. The first component of this data is Coast Guard, federal permit and state registration data. This data includes information on vessel characteristics such as vessel length, gross and net tonnages, horsepower and year built. In addition, address information for owners is available.

The second important component of this data is the landings information for individual vessels. In each NMFS region, fish ticket information and dealer data provide additional information on a

vessel's fishing trip, including date, port of landing, species, fish condition codes, pounds landed, round pound equivalents and revenue received. The third component of the data analysts may have available for developing sample strata are logbook programs, which provide detailed trip information on catch (target species, species landed, species discarded, etc.) and effort (gear used, duration or intensity of effort such as hooks used or soak time, crew size, etc.). In addition, because logbook tend to require reporting on all trips, it is possible to distinguish full-time vs. part time operators. Combined, these three information sources provide analysts with a rich data set with which to develop informed sampling plans and ascertain the representativeness of potential respondents.

The NMFS processed product database will be the primary source of data for defining the potential respondent universe and sampling strategy for the processor surveys. This survey collects contact and location information for processor companies and their plants as well as information on monthly employment and the volume and value of processed products. It is mandatory in the Northeast Region for some federally managed species and voluntary elsewhere. This processed product database may be supplemented in the Alaska Region by using processor permit and logbook information.

Example:

One of the first surveys planned will focus on vessels that use hook-and-line or pot gear to target groundfish and/or salmon. The respondent selection method and expected response rate for these surveys are described here to illustrate, in a general way, how the economic surveys will be conducted. The potential respondent universe for this survey includes the approximately 1,543 commercial fishing vessels that target groundfish/salmon with hook-and-line or pot gear on the west coast. Survey respondents will be selected via a stratified random sampling procedure, with the strata defined as follows: (a) limited entry groundfish vessels, (b) "small" open access groundfish vessels, (c) "large" open access groundfish vessels, (d) "small" salmon vessels and (e) "large" salmon vessels. The basis for this stratification is summarized in Table B-1 and can be described as follows:

Vessels are assumed to target groundfish (salmon) if at least 5% of their annual fishing revenue is derived from groundfish (salmon). The 5% threshold is used to distinguish vessels that target groundfish (salmon) from vessels that harvest groundfish (salmon) incidentally while targeting other species. Groundfish vessels are further categorized according to whether they have a groundfish limited entry permit or are "open access" boats that are allowed to harvest small amounts of groundfish without a permit.

The terms "small" and "large" are intended to denote a vessel's annual ex-vessel revenue rather than the size of the boat. Thus salmon and open access groundfish vessels are defined as "small" if they earned \$500-\$10,000 and "large" if they earned at least \$10,000 from their fishing activities in 2001. Limited entry groundfish vessels are lumped together, as virtually all of the limited entry fleet falls into the "large" category.

The strata are designed to be mutually exclusive. Strata 1-3 include vessels that target groundfish exclusively, as well as vessels that target both groundfish and non-groundfish species (including salmon). Strata 4-5 include vessels that target salmon exclusively, as well as vessels

that target both salmon and non-salmon species (though *not* groundfish, as vessels that target both salmon and groundfish are already included in strata 1-3).

The Pacific Fishery Management Council manages the groundfish limited entry fishery, and shares management responsibility for the groundfish open access fishery with the three west coast states. The limited entry-open access distinction is intended to ensure that the sample sizes for the groundfish strata are adequate for evaluating the effects of regulations on the limited entry and open access fisheries, which are subject to different sets of regulations. Similarly the small vessel-large vessel distinction is intended to ensure that sample sizes are adequate to allow analysis of the differential effect of fishery regulations on small versus large operators. As indicated in Table B-1, the target sample size for the groundfish/salmon survey is 225. Given the expected 50% response rate, 450 vessels will need to be contacted in order to achieve the target.



**Table B-1. Proposed stratification for survey of west coast commercial groundfish/salmon hook-and-line/pot vessels, and population and sample sizes by stratum.**

Stratum Characteristic	Strata					
	LE Grdfish	OA Grdfish Small	OA Grdfish Large	Salmon Small	Salmon Large	Total
% Revenue from H&L/Pot Grdfish	>=5%	>=5%	>=5%	<5%	<5%	
% Revenue from H&L Salmon Groundfish	LE	OA	OA	>=5%	>=5%	
LE/OA?				OA	OA	
2001 Revenue from All Species	>=\$10K	>\$500,<\$10K	>=\$10K	>\$500,<\$10K	>=\$10K	
Population Size <sup>1</sup>	158	313	271	373	428	1,543
Target Sample Size	41	65	42	49	28	225
# Contacts Needed to Achieve Target Sample Size <sup>2</sup>	82	130	84	98	56	450

<sup>1</sup> Data source: PacFIN Research Database.

<sup>2</sup> Based on assumed response rate of 50%.

**2. Describe the procedures for the collection, including: the statistical methodology for stratification and sample selection; the estimation procedure; the degree of accuracy needed for the purpose described in the justification; any unusual problems requiring specialized sampling procedures; and any use of periodic (less frequent than annual) data collection cycles to reduce burden.**

A stratified random sampling procedure will be used to define the sample frame using the aforementioned data sources. A continuation of the groundfish / salmon example is provided below to illustrate this methodology.

Survey data will be used in combination with other data sources to (a) to assess the economic status of fisheries, (b) to conduct regulatory analyses that describe the effects of regulations on the fishery, and (c) to estimate behavioral models that provide insights into the nature and extent of management problems (e.g., overcapacity) or predict industry response to changes in regulations.

No unusual problems are anticipated that would require specialized sampling procedures.

Efforts will be made to reduce burden associated with the frequency of data collection as follows:

a. The economic surveys to be conducted under this OMB authorization will typically be rotated among different fisheries from one year to the next, depending on management needs. At most, participants in any given fishery (depending on whether their vessel comes up in the random draw) will be surveyed once during the year in which their fishery is targeted and will not be surveyed again until their fishery appears again the rotation. The expectation is that a fishery will appear in the rotation only once every 3-4 years. If it is deemed necessary to survey a fishery more frequently, the sampling frame will, to the extent practicable, take into account whether a potential respondent had been previously selected to participate in the survey (e.g., sampling with no replacement of previously selected boats may be used, depending upon the statistical validity of this approach in the survey fishery). Overall, this approach will ensure coverage of the different fisheries for which economic data are lacking, while minimizing the burden on participants in any one of those fisheries.

b. Many vessels participate in multiple fisheries. Therefore, in situations where it is appropriate, surveys will be designed to cover predominant combinations of fisheries rather than single fisheries. Economists and fishery managers will want the data collected in this manner anyway, in order to better understand the economic effect of restrictions in one fishery in terms of the alternative opportunities available to the vessels in other fisheries. Focusing surveys on predominant fishery combinations will also reduce respondent burden, as it will help to avert situations where a vessel is surveyed one year regarding one of its fishery activities and the next year regarding another activity. The groundfish/salmon survey is an example of a survey that is intended to cover a range of fishing opportunities for a particular segment of the fleet (in this case hook-and-line and pot vessels).

### Example

The sample selection protocol and statistical methodology that will be used in the economic surveys covered by this OMB authorization can be illustrated in the context of the aforementioned groundfish/salmon survey. The target sample size in each stratum was determined in the following manner: A major objective of the groundfish/salmon survey is to obtain vessel-specific information on annual fixed costs as well as vessel- and trip-specific information on crew share and other variable costs. Major components of cost (e.g., crew share, fuel, galley, gear, vessel maintenance) vary with time at sea; thus annual fishing costs are likely to be correlated with the number of trips made by the vessel during the year. Given the lack of prior information on annual costs per vessel, the target sample size for each stratum was therefore based on mean and variance estimates for annual number of trips per vessel. Specifically, the target sample size for each stratum reported in Table B-2 represents the number of observations needed to estimate mean number of trips per year per vessel (as a proxy for mean cost per vessel) within 20% of the true mean value with 95% probability. The formulas used to derive the sample size estimates are included in the footnotes of the table.

**Table B-2. Derivation of sample size estimates for survey of west coast commercial groundfish/salmon hook-and-line/pot vessels.<sup>1</sup>**

Stratum	$N_i$	$\bar{Y}_{bar_i}$	$SD(\bar{Y}_{bar_i})$	$n_{oi}$	$n_i$	# contacts needed to achieve $n_i$
LE grdfish	158	38.9	29.5	55	41	82
OA grdfish small	313	16.3	15.0	81	65	130
OA grdfish large	271	47.2	34.0	50	42	84
Salmon small	373	11.9	9.1	56	49	98
Salmon large	428	27.7	15.6	30	28	56
Total	1,543			273	225	450

where

$N_i$  = population size in stratum  $i$ ,

$\bar{Y}_{bar_i}$  = mean number of trips per vessel in stratum  $i$  in 2001 (as a proxy for mean cost per vessel)

$SD(\bar{Y}_{bar_i})$  = standard deviation of  $\bar{Y}_{bar_i}$ ,

$n_{oi}$  (first approximation to  $n_i$ ) =  $\{[1.96*SD(\bar{Y}_{bar_i})]/[20\%*\bar{Y}_{bar_i}]\}^2$

20% being the maximum error acceptable for  $\bar{Y}_{bar_i}$ , and

1.96 being the t-value consistent with a 95% probability of estimating  $\bar{Y}_{bar_i}$  within 20% of its true value.

$n_i$  (sample size for stratum  $i$ , obtained by applying finite population correction factor to  $n_{oi}$ )  
 $= n_{oi}/[1+(n_{oi}/N_i)]$ ,

# contacts in stratum  $i$  needed to achieve  $n_i = n_i/0.5$ , is based on a predicted survey response rate of 50%.

<sup>1</sup> Sample size estimation procedure based on: Cochran, William G. 1977. *Sampling Techniques*. John Wiley & Sons: New York, pp. 77-78.

**3. Describe the methods used to maximize response rates and to deal with nonresponse. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses. For collections based on sampling, a special justification must be provided if they will not yield “reliable” data that can be generalized to the universe studied.**

In order to enhance response rates and ensure data quality, all economic surveys conducted under this OMB authorization will be planned in close consultation with industry representatives. Industry input will be solicited regarding a variety of issues, including the following:

- a. best way to introduce the survey to potential respondents,
- b. preferred elicitation method (e.g., mail questionnaires, telephone or in-person interviews),
- c. best person to provide survey information (e.g., skipper, vessel owner, vessel owner’s accountant) and how to facilitate that person’s cooperation,
- d. types of data confidentiality assurances needed to make industry comfortable with survey,
- e. best time of year to conduct survey,
- f. types of data that may be considered proprietary and ways to overcome this sensitivity,
- g. questionnaire formats and data formats that make it easier for respondents to answer survey questions,
- h. most effective way to follow up with people who do not respond to initial solicitation,
- i. most effective ways to communicate survey results back to the industry.

In addition, Dillman’s Total Design Method (1978) will also be followed to ensure maximum participation and to minimize non-response bias. Given that the economic surveys will be based on sampling protocols with an expected response rate of 70%, survey results will be compared with other existing commercial fishery data sources to ensure that the results are representative of the population being studied. Comparisons of these two data sources with the survey data will be made to determine whether survey samples are representative of the population and to devise methods for correcting for whatever sampling biases are found to exist.

**4. Describe any tests of procedures or methods to be undertaken. Tests are encouraged as effective means to refine collections, but if ten or more test respondents are involved OMB must give prior approval.**

All surveys conducted under this OMB authorization will be subject to pretest involving fewer than ten respondents. As part of the pretest, representatives from the fishery being surveyed will be asked to complete a draft version of the questionnaire and to provide feedback regarding the clarity and completeness of the questionnaire and suggestions regarding how the survey can be improved.

#### Example

For the groundfish/salmon survey, the draft survey questionnaire will be pretested on three limited entry groundfish vessels, three open access groundfish vessels and three salmon vessels.

**5. Provide the name and telephone number of individuals consulted in the statistical aspects of the design, and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.**

The individuals responsible conducting and/or analyzing the information for the agency include:

- Northeast NMFS economists, Phil Logan (508) 495-2354; Drew Kitts (508) 495-2231; Eric Thunberg (508) 495-2272; Scott Steinback (508) 495-2371; Barbara Roundtree (508) 495-2240; and John Walden (508) 495-2335
- Southeast NMFS economists, Jim Waters (252) 728-8710; Juan Agar (305)-361-4218; Michael Travis (727)-570-5335; John Vondruska (727) 570-5335
- West coast NMFS economists, Steve Freese (206) 526-6113; Jim Hastie (206) 860-3412; Cindy Thomson (831) 420-3911, and Wes Silverthorne (707) 575-6087
- Alaska NMFS economists: Joe Terry (206) 526-4253, Ron Felthoven (206) 526-4114, Lew Queirolo (360) 387-4652
- Pacific Islands NMFS economists, Minling Pan (808) 983-5347; Samuel Pooley (808) 983-5320
- PFMC economists, Jim Seger (503) 820-2280; Ed Waters (503) 820-2280
- NPFMC economists: Darrell Brannan (352) 466-0335, Mike Fina (907) 271-2809

Example

For the groundfish / salmon example, the Pacific States Marine Fisheries Commission will be responsible for data collection. Economists at the National Marine Fisheries Service (NMFS) and Pacific Fishery Management Council will be responsible for the data analysis. Cindy Thomson (831-420-3911), a NMFS economist, was consulted in the statistical aspects of the design for the groundfish/salmon fixed gear survey described above.

Analysts include:

- West coast NMFS economists, Steve Freese (206) 526-6113; Jim Hastie (206) 860-3412; Cindy Thomson (831) 420-3911, and Wes Silverthorne (707) 575-6087
- Alaska NMFS economists: Joe Terry (206) 526-4253, Ron Felthoven (206) 526-4114, Lew Queirolo (360) 387-4652
- PFMC economist Jim Seger (503) 820-2280, Ed Waters (503) 820-2280
- NPFMC economists: Darrell Brannan (352) 466-0335, Mike Fina (907) 271-2809

**Attachment A - Magnuson-Stevens Fishery Conservation and Management Act**

Public Law 94-265

As amended through October 11, 1996

**SEC. 301. NATIONAL STANDARDS FOR FISHERY CONSERVATION AND  
MANGEMENT 16 U.S.C. 1851**

104-297

(a) IN GENERAL--Any fishery management plan prepared, and any regulation promulgated to implement any such plan, pursuant to this title shall be consistent with the following national standards for fishery conservation and management:

- (5) Conservation and management measures shall, where practicable, consider efficiency in the utilization of fishery resources; except that no such measure shall have economic allocation as its sole purpose.
- (8) Conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities in order to (A) provided for the sustained participation of such communities, and (B) to the extent practicable, minimize adverse economic impacts on such communities.

**SEC. 303. CONTENTS OF FISHERY MANAGEMENT PLANS 16 U.S.C. 1853**

95-354, 99-659, 101-627, 104-297

(a) REQUIRED PROVISIONS.--Any fishery management plan which is prepared by any Council, or by the Secretary, with respect to any fishery, shall-

- (2) contain a description of the fishery, including, but not limited to, the number of vessels involved, the type and quantity of fishing gear used, the species of fish involved and their location, the cost likely to be incurred in management, actual and potential revenues from the fishery, any recreational interest in the fishery, and the nature and extent of foreign fishing and Indian treaty fishing rights, if any;
- (9) include a fishery impact statement for the plan or amendment (in the case of a plan or amendment thereto submitted to or prepared by the Secretary after October 1, 1990) which shall assess, specify, and describe the likely effects, if any, of the conservation and management measures on -
  - (A) participants in the fisheries and fishing communities affected by the plan or amendment;

(14) to the extent that rebuilding plans or other conservation and management measures which reduce the overall harvest in a fishery are necessary, allocate any harvest restrictions or recovery benefits fairly and equitably among the commercial, recreational and charter fishing sectors in the fishery.

## **Attachment B - Pacific Fishery Management Council Pacific Coast Groundfish Plan**

### **6.2.3 Non-Biological Issues--The Socio-Economic Framework**

From time to time non-biological issues may arise which require the Council to recommend management actions to address certain social or economic issues in the fishery. Resource allocation, seasons, or landing limits based on market quality and timing, safety measures, and prevention of gear conflicts make up only a few examples of possible management issues with a social or economic basis. In general, there may be any number of situations where the Council determines that management measures are necessary to achieve the stated social and/or economic objectives of the FMP.

Either on its own initiative or by request, the Council may evaluate current information and issues to determine if social or economic factors warrant imposition of management measures to achieve the Council's established management objectives. Actions that are permitted under this framework include all of the categories of actions authorized under the "points of concern" frame-work with the addition of direct resource allocation.

If the Council concludes that a management action is necessary to address a social or economic issue, it will prepare a report containing the rationale in support of its conclusion. The report will include the proposed management measure, a description of other viable alternatives considered, and an analysis that addresses the following criteria: (a) how the action is expected to promote achievement of the goals and objectives of the FMP; (b) likely impacts on other management measures and other fisheries; (c) biological impacts; (d) economic impacts, particularly the cost to the fishing industry; and (e) how the action is expected to accomplish at least one of the following:

1. enable a quota, harvest guideline, or allocation to be achieved;
2. avoid exceeding a quota, harvest guideline, or allocation;
3. extend domestic fishing and marketing opportunities as long as practicable during the fishing year, for those sectors for which the Council has established this policy;
4. maintain stability in the fishery by continuing management measures for species that previously were managed under the points of concern mechanism;
5. maintain or improve product volume and flow to the consumer;
6. increase economic yield;
7. improve product quality;
8. reduce anticipated discards;
9. reduce gear conflicts, or conflicts between competing user groups;
10. develop fisheries for underutilized species with minimal impacts on existing domestic fisheries;
11. increase sustainable landings;
12. increase fishing efficiency;
13. maintain data collection and means for verification;
14. maintain or improve the recreational fishery; or,
15. any other measurable benefit to the fishery.



The Council, following review of the report, supporting data, public comment and other relevant information, may recommend management measures to the NMFS Regional Director accompanied by relevant background data, information and public comment. The recommendation will explain the urgency in implementation of the measure(s), if any, and reasons therefore.

The NMFS Regional Director will review the Council's recommendation, supporting rationale, public comments and other relevant information, and, if it is approved, will undertake the appropriate method of implementation. Rejection of the recommendation will be explained in writing.

The procedures specified in this chapter do not affect the authority of the Secretary to take emergency regulatory action as provided for in Section 305(e) of the MFCMA if an emergency exists involving any groundfish resource, or to take such other regulatory action as may be necessary to discharge the Secretary's responsibilities under Section 305(g) of the MFCMA.

If conditions warrant, the Council may designate a management measure developed and recommended to address social and economic issues as a "routine" management measure provided that the criteria and procedures in Section 6.2.1 are followed.

Quotas, including allocations, implemented through this framework will be set annually and may be modified in season only to reflect technical corrections of ABC. (In contrast, quotas may be imposed at any time of year for resource conservation reasons under the points of concern mechanism.)

#### 6.2.3.1 Allocation

In addition to the requirements described in Section 6.2.3, the Council will consider the following factors when intending to recommend direct allocation of the resource:

- a. present participation in and dependence on the fishery, including alternative fisheries;
- b. historical fishing practices in, and historical dependence on, the fishery;
- c. the economics of the fishery;
- d. any consensus harvest sharing agreement or negotiated settlement between the affected participants in the fishery;
- e. potential biological yield of any species or species complex affected by the allocation;
- f. consistency with the MFCMA national standards;
- g. consistency with the goals and objectives of this FMP.

The modification of a direct allocation cannot be designated as "routine" unless the specific criteria for the modification have been established in the regulations.

**Attachment C - The National Environmental Policy Act of 1969, as amended:**

(Pub. L. 91-190, 42 U.S.C. 4321-4347, January 1, 1970, as amended by Pub. L. 94-52, July 3, 1975, Pub. L. 94-83, August 9, 1975, and Pub. L. 97-258, § 4(b), Sept. 13, 1982)

**Sec. 102 [42 USC § 4332]**

The Congress authorizes and directs that, to the fullest extent possible: (1) the policies, regulations, and public laws of the United States shall be interpreted and administered in accordance with the policies set forth in this Act, and (2) all agencies of the Federal Government shall --

(A) utilize a systematic, interdisciplinary approach which will insure the integrated use of the natural and social sciences and the environmental design arts in planning and in decisionmaking which may have an impact on man's environment;

(B) identify and develop methods and procedures, in consultation with the Council on Environmental Quality established by title II of this Act, which will insure that presently unquantified environmental amenities and values may be given appropriate consideration in decisionmaking along with economic and technical considerations;

(C) include in every recommendation or report on proposals for legislation and other major Federal actions significantly affecting the quality of the human environment, a detailed statement by the responsible official on --

(i) the environmental impact of the proposed action,

## **Attachment D - Executive Order #12866: Regulatory Planning and Review**

Date: June, 1994

### **Section 1. Statement of Regulatory Philosophy and Principles.**

- a. **The Regulatory Philosophy.** Federal agencies should promulgate only such regulations as are required by law, are necessary to interpret the law, or are made necessary by compelling public need, such as material failures of private markets to protect or improve the health and safety of the public, the environment, or the well-being of the American people. In deciding whether and how to regulate, agencies should assess all costs and benefits of available regulatory alternatives, including the alternative of not regulating. Costs and benefits shall be understood to include both quantifiable measures (to the fullest extent that these can be usefully estimated) and qualitative measures of costs and benefits that are difficult to quantify, but nevertheless essential to consider. Further, in choosing among alternative regulatory approaches, agencies should select those approaches that maximize net benefits (including potential economic, environmental, public health and safety, and other advantages; distributive impacts; and equity), unless a statute requires another regulatory approach.
- b. **The Principles of Regulation.** To ensure that the agencies' regulatory programs are consistent with the philosophy set forth above, agencies should adhere to the following principles, to the extent permitted by law and where applicable:
  7. Each agency shall base its decisions on the best reasonably obtainable scientific, technical, economic, and other information concerning the need for, and consequences of, the intended regulation.

## **Attachment E – State Statutes**

### **A. Alaska Revised Code**

#### **Chapter 16.05. FISH AND GAME CODE**

##### **Sec. 16.05.020.** Functions of commissioner.

The commissioner shall:

- (1) supervise and control the department, and may appoint and employ division heads, enforcement agents, and the technical, clerical, and other assistants necessary for the general administration of the department;
- (2) manage, protect, maintain, improve, and extend the fish, game and aquatic plant resources of the state in the interest of the economy and general well-being of the state;
- (3) have necessary power to accomplish the foregoing including, but not limited to, the power to delegate authority to subordinate officers and employees of the department.

##### **Sec. 16.05.251.** Regulations of the Board of Fisheries.

(e) The Board of Fisheries may allocate fishery resources among personal use, sport, guided sport, and commercial fisheries. The board shall adopt criteria for the allocation of fishery resources and shall use the criteria as appropriate to particular allocation decisions. The criteria may include factors such as

- (1) the history of each personal use, sport, guided sport, and commercial fishery;
- (2) the number of residents and nonresidents who have participated in each fishery in the past and the number of residents and nonresidents who can reasonably be expected to participate in the future;
- (3) the importance of each fishery for providing residents the opportunity to obtain fish for personal and family consumption;
- (4) the availability of alternative fisheries resources;
- (5) the importance of each fishery to the economy of the state;
- (6) the importance of each fishery to the economy of the region and local area in which the fishery is located;
- (7) the importance of each fishery in providing recreational opportunities for residents and nonresidents.

## **B. Florida Statute**

### Chapter 120 Administrative Procedures Act

**120-54** (1) (d) In adopting rules, all agencies must, among the alternative approaches to any regulatory objective and to the extent allowed by law, choose the alternative that does not impose regulatory costs on the regulated person, county, or city which could be reduced by the adoption of less costly alternatives that substantially accomplish the statutory objectives

## **C. Hawaii Revised Statutes**

### Chapter 201 Small Business Regulatory Flexibility Act

**201M-2** Determination of small business impact; small business impact statement.

(a) Prior to submitting proposed rules for adoption, amendment, or repeal under section 91-3, the agency shall determine whether the proposed rules affect small business, and if so, the availability and practicability of less restrictive alternatives that could be implemented. This section shall not apply to emergency rulemaking.

(b) If the proposed rules affect small business, the agency shall consider creative, innovative, or flexible methods of compliance for small businesses and prepare a small business impact statement to be submitted with the proposed rules to the departmental advisory committee on small business and the small business regulatory review board prior to providing notice for a public hearing. The statement shall provide a reasonable determination of the following:

(1) The businesses that will be directly affected by, bear the costs of, or directly benefit from the proposed rules;

(2) Description of the small businesses that will be required to comply with the proposed rules and how they may be adversely affected;

(3) In dollar amounts, the increase in the level of direct costs such as fees or fines, and indirect costs such as reporting, recordkeeping, equipment, construction, labor, professional services, revenue loss, or other costs associated with compliance;

(4) The probable monetary cost and benefits to the implementing agency and other agencies directly affected, including the estimated total amount the agency expects to collect from any additionally imposed fees and the manner in which the moneys will be used;

(5) The methods the agency considered or used to reduce the impact on small business such as consolidation, simplification, differing compliance or reporting requirements, less stringent deadlines, modification of the fines schedule, performance rather than design standards, exemption, or any other mitigating techniques;

(6) How the agency involved small business in the development of the proposed rules; and

(7) Whether the proposed rules include provisions that are more stringent than those mandated by any comparable or related federal, state, or county standards, with an explanation of the reason for imposing the more stringent standard.

(c) This chapter shall not apply to proposed rules adopted by an agency to implement a statute or ordinance that does not require an agency to interpret or describe the requirements of the statute or ordinance, such as federally-mandated regulations which affords the agency no discretion to consider less restrictive alternatives. [L 1998, c 168, pt of §2, §5; am L 2002, c 202, §5]

#### **D. New Jersey Permanent Statutes**

Title 52 State Government, Department and Officers

**52:14B-19.** In proposing a rule for adoption, the agency involved shall issue a regulatory flexibility analysis regarding the rule, which shall be included in the notice of a proposed rule as required by subsection (a) of section 4 of P.L. 1968, c. 410 (C. 52:14B-4). Each regulatory flexibility analysis shall contain:

- a. A description of the types and an estimate of the number of small businesses to which the proposed rule will apply;
- b. A description of the reporting, record-keeping and other compliance requirements being proposed for adoption, and the kinds of professional services that a small business is likely to need in order to comply with the requirements;
- c. An estimate of the initial capital costs and an estimate of the annual cost of complying with the rule, with an indication of any likely variation in the costs for small businesses of different types and of differing sizes; and
- d. An indication of how the rule, as proposed for adoption, is designed to minimize any adverse economic impact of the proposed rule on small businesses.

This section shall not apply to any proposed rule which the agency finds would not impose reporting, record-keeping, or other compliance requirements on small businesses. The agency's finding and an indication of the basis for its finding shall be included in the notice of a proposed rule as required by subsection (a) of section 4 of P.L. 1968, c. 410 (C. 52:14B-4).

#### **E. Oregon Revised Statutes**

Chapter 183

Civil Penalties, Administrative Procedures and Rules of State Agencies

**183.335** Notice; content; public comment; temporary rule adoption, amendment or suspension; substantial compliance required. (1) Prior to the adoption, amendment or repeal of any rule, the agency shall give notice of its intended action:

(a) In the manner established by rule adopted by the agency under ORS 183.341 (4), which provides a reasonable opportunity for interested persons to be notified of the agency's proposed action;

(b) In the bulletin referred to in ORS 183.360 at least 21 days prior to the effective date; and

(c) At least 28 days before the effective date, to persons who have requested notice pursuant to subsection (7) of this section and to the persons specified in subsection (14) of this section.

(2)(a) The notice required by subsection (1) of this section shall state the subject matter and purpose of the intended action in sufficient detail to inform a person that the person's interests may be affected, and the time, place and manner in which interested persons may present their views on the intended action.

(b) The agency shall include with the notice of intended action given under subsection (1) of this section:

(E) A statement of fiscal impact identifying state agencies, units of local government and the public which may be economically affected by the adoption, amendment or repeal of the rule and an estimate of that economic impact on state agencies, units of local government and the public. In considering the economic effect of the proposed action on the public, the agency shall utilize available information to project any significant economic effect of that action on businesses which shall include a cost of compliance effect on small businesses affected. For an agency specified in ORS 183.530, the statement of fiscal impact shall also include a housing cost impact statement as described in ORS 183.534;

**183.540** Reduction of economic impact on small businesses. When the economic effect analysis shows that the rule has a significant adverse effect upon small business and, to the extent consistent with the public health and safety purpose of the rule, the agency shall reduce the economic impact of the rule on small business by:

(1) Establishing differing compliance or reporting requirements or time tables for small business;

(2) Clarifying, consolidating or simplifying the compliance and reporting requirements under the rule for small business;

(3) Utilizing objective criteria for standards; or

(4) Exempting small businesses from any or all requirements of the rule. [1981 c.755 s.4]

**183.545** Review of rules to minimize economic effect on businesses. Each agency periodically, but not less than every three years, shall review all rules that have been issued by the agency. The review shall include an analysis to determine whether such rules should be continued without change or should be amended or rescinded, consistent with the stated objectives of applicable statutes, to minimize the economic effect on businesses and the effect due to size and type of business. [1981 c.755s.5]

## **ATTACHMENT F Economic Add-on to Hawaii Longline Observer Program (draft)**

### **ECONOMIC ADD-ON TO THE HAWAII LONGLINE OBSERVER PROGRAM FAQs**

#### ***What is the purpose of the survey?***

This survey will obtain information needed to:

- estimate the economic value of fish and other marine resources to the Hawaii longline fleet;
- evaluate the economic impact of management decisions on the Hawaii longline fishery; and
- assess the damages to the Hawaii longline fleet from environmental events (e.g., hurricanes, El Nino), oil spills, and other external factors.

#### ***Who is being surveyed?***

Longline owners and captains operating in Hawaii will be surveyed.

#### ***What types of information will be collected?***

This survey will collect trip operating cost information, e.g., quantity and cost of fuel used on a trip, bait cost and usage, etc.

#### ***How will the information be collected?***

Those selected to carry an observer will be asked to provide operating expense information for the observed trip only. The observer will ask you these questions, which should only take 10 minutes to answer.

#### ***Whose survey is this?***

The survey is being conducted by the NOAA Fisheries (NMFS).

#### ***Why should I participate? Is the survey voluntary?***

While the survey is voluntary, it is important that you assist in this effort. Your participation will ensure that Western Pacific Fishery Management Council (WPFMC), NMFS and Hawaii have adequate information to understand the economics of the Hawaii longline fishery and to design policies that consider economic impacts as well as protect fish stocks.

#### ***Will the information collected be confidential?***

The information collected will be confidential and will be accessible only to NMFS and WPFMC. Federal confidentiality rules will apply. Specifically,

Under the authority of Section 402(b) of the Magnuson-Stevens Fishery Conservation and Management Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information a person submits to the National Marine Fisheries Service in response to this Survey shall be considered confidential and shall not be disclosed except to: (1) Federal employees and Western Pacific Fishery Management Council employees who are responsible for fishery management plan development and monitoring, (2) to state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of the identity or business of any person; (3) when required by court order.



***Who can I contact if I have questions?***

If you have any questions, suggestions or concerns regarding the survey, please contact:

Minling Pan  
National Marine Fisheries Service  
2570 Dole Street  
Honolulu, HI 96822  
808-983-5320  
Minling.Pan@noaa.gov

PAPERWORK REDUCTION ACT STATEMENT: Collection of economic information through the observer program provides current data on the costs and earnings for vessels participating in the Hawaii longline fishery and aids NMFS in the assessment of impacts of fishery regulations. Public reporting burden is estimated to average 10 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing the burden, to: NMFS, 2570 Dole Street, Honolulu, HI 96822.

Providing the requested information is voluntary. In accordance with NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information submitted to NMFS by any person in response to this survey shall be considered confidential and shall not be disclosed except to: (1) federal employees and council employees who are responsible for fishery management plan development and monitoring; (2) state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of this information; or (3) when required by court order. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. This is an approved information collection under OMB #0648-0369 that expires \_\_\_\_\_.

TRIP NO. (NMFS use only)  DATE OF DEPARTURE  /  /  DATE OF RETURN  /  /  TOTAL # SETS

FUEL PRICE PER GALLON \$  GALLONS PURCHASED  TOTAL COST OF FUEL \$

OIL PRICE PER GALLON \$  GALLONS PURCHASED  TOTAL COST OF OIL \$

**BAIT TYPES**

1. Large Squid
2. Small Squid
3. Saury (sanma)
4. Mackerel (saba)
5. Sardine

Bait Type Used

\$

Price per Box

Boxes Purchased

Bait Cost

Bait Type Used

\$

Price per Box

Boxes Purchased

Bait Cost

**ICE UNIT**

1. Blocks
2. Tons
3. Pounds

Unit

PRICE PER UNIT ICE

UNITS PURCHASED

TOTAL COST

**COMMUNICATIONS** (Cost of satellite phone calls, downloads, email, etc.)

\$

**PROVISIONS** (Cost of groceries, including bottled water)

\$

**FISHING GEAR** (gear includes hooks, line, floats, raingear)

\$

**HANDLING COSTS** \$  per pound Or  % of gross revenue

**MISCELLANEOUS COSTS**

\$

Identify miscellaneous costs: \_\_\_\_\_

**TOTAL ESTIMATED TRIP COSTS**

\$

**WEST COAST CATCHER VESSEL IDENTIFICATION SHEET****Person completing the survey**

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

FAX: \_\_\_\_\_

e-mail address: \_\_\_\_\_

Vessel Identification, Ownership and Permit information

1. Please verify the information about the *primary owner* of this vessel.

Item	Information on record	Corrections/Additions
a. Name		
b. Address		
c. City/State/Zip		

If all of the above information is correct, please check (✓) this box ☐.2. Please verify the information about the *primary contact* for operations of this vessel.

Item	Information on record	Corrections/Additions
a. Name	Not available, please provide →	
b. Address		
c. City/State/Zip		

If all of the above information is correct, please check (✓) this box ☐.

3. Please verify the following information about this vessel.

Item	Information on record	Corrections/Additions
a. USCG vessel ID		
b. State vessel ID		
c. Vessel name		
d. Home port		
e. Gross registered tons		
f. Length overall		
g. Beam		
h. Shaft horsepower		
i. Fuel capacity (gallons)	Not available, please provide →	
j. Hull type		
k. Year built		
l. Number of berths	Not available, please provide →	

If all of the above information is correct, please check (✓) this box ☐.

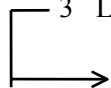
For Office Use Only	Survey #	Rec'd	Ent'd	OSU
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4. Does the entity that operates this vessel own or lease this vessel? (*Circle one number*)

1 NEITHER OWN NOR LEASE (*Skip to Question Number 4*)

2 OWN (*Skip to Question Number 4*)

3 LEASE



4a. For how many months did it lease this vessel in 1997 and 1998?

\_\_\_\_\_ MONTHS IN 1997      \_\_\_\_\_ MONTHS IN 1998

5. Does a processor to which this vessel delivered catch in 1997 or 1998 own this vessel or partly own this vessel? (*Circle one number for each year*)

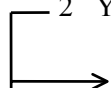
	PROCESSOR <u>OWNS</u>	PROCESSOR PARTLY <u>OWNS</u>	PROCESSOR DOES NOT <u>OWN</u>
a. 1997 .....	1	2	3
b. 1998 .....	1	2	3

***If you own all or part of this vessel please go on to question number 6. Otherwise, please skip now to question number 7.***

6. To better protect the confidentiality of cost and revenue information about this vessel we need to collect information about other boats that you may own. Does the entity that owns this vessel, also own other fishing vessels? (*Circle one number*)

1 NO (*Skip to Question 7*)

2 YES



6a. For the other vessels, please give the USCG and state vessel ID and the vessel name.

USCG VESSEL ID	STATE VESSEL ID	VESSEL NAME
a. _____	b. _____	c. _____
d. _____	e. _____	f. _____
g. _____	h. _____	i. _____

7. For each state and federal limited access permit/license the vessel holds, please provide a description of the license and, if transferable, your estimate of its market value at the beginning of 1998. If you don't know the market value, please tell us by circling "Don't Know". For state permits, please indicate the issuing state.

DESCRIPTION	MARKET VALUE	
a. Groundfish limited entry permit	\$ _____	DON'T KNOW
b. State crab permit WA / OR / CA	\$ _____	DON'T KNOW
c. State shrimp permit WA / CA / OR	\$ _____	DON'T KNOW
Other (specify)		
d. _____	\$ _____	DON'T KNOW
e. _____	\$ _____	DON'T KNOW
f. _____	\$ _____	DON'T KNOW
g. _____	\$ _____	DON'T KNOW
h. _____	\$ _____	DON'T KNOW

**(PLEASE GO ON TO MAIN SURVEY)**

***Vessel Characteristics***

1. What is the maximum pounds of fish and live fish this vessel can safely deliver per trip?

a. \_\_\_\_\_ LBS. OF FISH

b. \_\_\_\_\_ LBS. OF LIVE FISH

2. Please indicate whether or not the vessel has each of the following storage facilities:

*(Circle one number for each)*

	<u>YES</u>	<u>NO</u>
a. Freezer Hold.....	1	2
b. Live Fish/Crab Hold .....	1	2
c. Ice Hold.....	1	2
d. RSW.....	1	2

3. For each of the following activities, please give the average fuel consumption of the vessel per hour during 1998. If not applicable, please write "NA".

ACTIVITY	GALLONS PER HOUR
a. Trawling	
b. Crabbing	
c. Shrimping	
d. Steaming – fully loaded with fish	
e. Steaming – empty	

4. What was the starting date of this vessel's 1998 fiscal year?

(\_\_\_\_/\_\_\_\_/\_\_\_\_) (mm/dd/yy) STARTING DATE OF 1998 FISCAL YEAR

5. If the vessel's fiscal year changed in 1997, 1998 or 1999, please check this box ☐.

6. What was the most recent survey value (fair market value) of this vessel, rounded to the nearest 100 dollars, and survey date?

6a. US \$ \_\_\_\_\_ SURVEY VALUE

6b. (\_\_\_\_/\_\_\_\_/\_\_\_\_) (mm/dd/yy) DATE OF SURVEY

7. Does the survey value shown above reflect the value of permits and moratorium qualifications associated with the vessel at the time of the survey? *(Circle one number)*

1 YES

2 NO

8. What was the insured value, rounded to the nearest 100 dollars, of this vessel and all on-board equipment in fiscal year 1998, excluding permits and licenses?

US \$ \_\_\_\_\_ 1998 INSURED VALUE

**(PLEASE TURN THE PAGE)**

**For Office Use Only      Survey #**

## ***Expenditures***

9. For each of the expense categories below, first provide the total annual expenditures for fiscal year 1997 and then the amount attributable to each month. Then provide this information for 1998. Please record the information in the month that the cost was incurred. If you were ***not active*** during a month, please circle that month. If you do not maintain an expenditure category by month please provide those expenditures that are tracked monthly. Round all answers to the nearest 100 dollars.

<b>FISCAL YEAR 1997 EXPENSE CATEGORY</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>
a. Fishery permit leasing and catch quota purchases					
b. Payments to skipper (including bonuses and payroll taxes but excluding benefits and insurance)					
c. Crew wages/crew shares (including bonuses and payroll taxes but excluding benefits and insurance)					
d. Fuel and lube					
e. Landing taxes paid					
f. Ice					
g. Food and provisions					
h. Bait					

<b>FISCAL YEAR 1998 EXPENSE CATEGORY</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>
a. Fishery permit leasing and catch quota purchases					
b. Payments to skipper (including bonuses and payroll taxes but excluding benefits and insurance)					
c. Crew wages/crew shares (including bonuses and payroll taxes but excluding benefits and insurance)					
d. Fuel and lube					
e. Landing taxes paid					
f. Ice					
g. Food and provisions					
h. Bait					

**(GO ON TO NEXT PAGE)**

**Question 9 - continued.**

1997 continued							
MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

1998 continued							
MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

**(PLEASE TURN THE PAGE)**

10. Please provide the total **capitalized expenditures** associated with each of the following categories for this vessel for fiscal years 1997 and 1998. Round all answers to the nearest 100 dollars.

CAPITALIZED EXPENDITURE	1997 (US\$)	1998 (US\$)
a. Purchases of fishery permits and licenses (capitalized)		
b. Fishing gear (nets, net electronics, doors, cables, etc.)		
c. Expenditures on vessel and on-board equipment (other than fishing gear)		
d. Other capital expenditures related to vessel operations		

11. In the table below, please provide the total expenses associated with the following categories for fiscal years 1997 and 1998. **Do not include expenditures that were expenses listed in question 9 (pages 2 and 3) or capitalized above in question 10.** Round all answers to the nearest 100 dollars.

EXPENSE CATEGORY	1997 FISCAL YEAR EXPENSES (US\$)	1998 FISCAL YEAR EXPENSES (US \$)
a. Lease expenses for this vessel and all on-board equipment		
b. Repair and maintenance expenses for vessel and equipment (including shipyard accrual and purchases of parts and equipment that were expensed in each fiscal year)		
c. Fishing gear leases, repairs and purchases fully expensed in each fiscal year (e.g., nets, net electronics, doors, cables, etc.)		
d. Insurance (vessel insurance, P&I, and other insurance associated with operation of the vessel)		
e. Recruitment, travel, benefits and other employee related costs (excluding food and provisions and other employee expenses included in question 9)		
f. General and Administrative (including professional services and management fees)		
g. CCF contributions		
h. Income taxes associated with this vessel		
i. Interest payments associated with this vessel		
j. Depreciation and amortization		
k. All other expenses associated with this vessel not included in questions 9 or 10 above		

(GO ON TO NEXT PAGE)



## ***Fishery Participation and Revenues***

12. During either 1997 or 1998, did this vessel participate in fisheries that were not West Coast fisheries? (Circle one number)

1 NO (Skip to Question number 13)

2 YES

→ 12a. Please tell us the location of these non-West Coast fisheries and give the beginning and ending dates (mm/yy) in which you were active in these fisheries. Also provide revenue estimates (rounded to the nearest 100 dollars) and typical crew size (including skipper).

Fishery Name/Location	Start date (mm/yy)	End date (mm/yy)	Landings Revenue (US\$)	Typical crew
a.	/	/		
b.	/	/		
c.	/	/		
d.	/	/		

13. For each fishery in which this vessel participated in 1998, please provide the typical trip length in days and the typical crew size (including skipper).

1998	Typical Trip days	Typical Crew Size
a. Whiting shoreside		
b. Whiting at-sea		
c. DTS		
d. Slope Rockfish		
e. Shelf Rockfish		
f. Near shore flatfish		

1998	Typical Trip days	Typical Crew Size
g. Crab		
h. Shrimp		
Other (specify)		
i.		
j.		
k.		

14. Excluding revenues for which there is a West Coast fish ticket and revenues reported in question 12, please give the total amount of revenue received in fiscal years 1997 and 1998 (rounded to the nearest 100 dollars) for each of the following categories for this vessel:

Revenue Category	1997 (\$)	1998 (\$)
a. Income derived from leasing of permits or catch rights normally associated with this vessel (exc. fish tickets)		
b. All other income derived from other vessel operation (e.g., tendering, charters)		

(PLEASE TURN THE PAGE)

**Other**

15. Please give the total dollar amount of gear lost in 1997 by gear type and then the dollar amount lost in each month. Record lost gear value in the month of loss, not the month of replacement. Give this same information for 1998.

<b>1997</b>	<b>Value of Gear Lost</b>					
<b>Gear Type</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>	<b>MAY</b>
a. Trawl						
b. Pot						
c. Net						
d. Line						
e. Other						

<b>1997 continued</b>		<b>Value of Gear Lost</b>				
<b>JUN</b>	<b>JUL</b>	<b>AUG</b>	<b>SEP</b>	<b>OCT</b>	<b>NOV</b>	<b>DEC</b>

**Question 15 continued.**

<b>1998</b>	<b>Value of Gear Lost</b>					
<b>Gear Type</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>	<b>MAY</b>
a. Trawl						
b. Pot						
c. Net						
d. Line						
e. Other						

<b>1998 continued</b>		<b>Value of Gear Lost</b>				
<b>JUN</b>	<b>JUL</b>	<b>AUG</b>	<b>SEP</b>	<b>OCT</b>	<b>NOV</b>	<b>DEC</b>

(GO ON TO NEXT PAGE)

16. In the table below, please estimate your average monthly per gallon fuel prices in 1998 for this vessel.

1998	Estimated price per gallon of fuel					
	JAN	FEB	MAR	APR	MAY	JUN
Price/gallon of Fuel						

1998 continued	Estimated price per gallon of fuel					
	JUL	AUG	SEP	OCT	NOV	DEC
Price/gallon of Fuel						

17. Does this vessel use a crew share system to pay its crew? (*Circle one number*)

1 NO (*Please turn the page*)

2 YES



17a. In the West Coast groundfish fisheries, which of the following expenses were subtracted from your total revenues (gross stock) before calculating the crew share? (*Circle one number for each*)

	<u>DEDUCTED</u>	<u>NOT DEDUCTED</u>
a. Fuel and Lube .....	1	2
b. Food .....	1	2
c. Fish landings taxes .....	1	2
d. Other (specify) _____	1	2
e. Other (specify) _____	1	2

17b. In the West Coast groundfish fisheries, what percentage of the net share (gross stock minus the expenses indicated above in 17a) goes to:

- a. Boat share ..... %
- b. Crew share (including skipper) ..... %

(PLEASE TURN THE PAGE)

**Thank you for your time and cooperation. Please feel free to provide comments about the survey below. To help us understand problems you may have had with the questions and to help us collect this information in the future more easily and efficiently, let us know which questions were particularly troublesome.**

**Alternatively, if you have questions about the survey and would like to talk to me directly please feel free to call me at (206) 526-4251 or toll-free at (888) 421-4251. I can also be reached via e-mail at [dave\\_colpo@psmfc.org](mailto:dave_colpo@psmfc.org).**

**In the event that the return envelope has been lost or misplaced, the completed survey and comments can be returned to me at:**

**Dave Colpo  
7600 Sand Point Way NE. - Building 4  
Seattle, WA 98115-0070**

It is very important that you understand that this is a voluntary survey. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The OMB Control Number for this survey is OMB Control #0648-0369 and expires 04/30/2002.

While this is a voluntary survey, this information is needed to respond to requirements of the Magnuson-Stevens Fishery Conservation and Management Act. In accordance with Section 402(b), the Regulatory Flexibility Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information submitted to NMFS by any person in response to this survey shall be considered confidential and shall not be disclosed except to: (1) federal employees and council employees who are responsible for fishery management plan development and monitoring; (2) state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of this information; or (3) when required by court order.

Public burden for this collection of information is estimated at 2 hours per survey, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing the survey. Send comments regarding this burden estimate or any other aspect of this data collection, including suggestion for reducing the burden, to: Dave Colpo, Pacific States Marine Fisheries Commission, 7600 Sand Point Way NE, Bldg. 4, Seattle, WA 98115-0070.

**(THANK YOU FOR YOUR COOPERATION)**

## **Instructions for West Coast Catcher Vessel Survey**

These surveys are designed to collect information on individual vessels even if this vessel is part of a larger company. While the first year of the surveys is focussing on the groundfish limited entry trawlers, information on all aspects of your operation, not just trawling for groundfish, is being requested. For example, if, besides trawling for groundfish, you also fished for crab in 1997 or 1998, information about this harvest is essential and should be reported. The intent is to enable analysts to evaluate all activities of a vessel as a stand-alone entity. If this vessel is part of a larger company with multiple vessels or other operations we request that you report in the survey only costs and revenues that are clearly allocable to this vessel. If this vessel is part of a larger company, surveys have also been sent to the other vessels.

This survey is divided into 5 separate components: Vessel Identification, Ownership and Permit Information section, a Vessel Characteristics section, an Expenditures section, a Fishery Participation and Revenues section and finally an 'Other' section. These sections are described below.

### **Vessel Identification, Ownership and Permit Information Section**

The first component is on the loose double-sided sheet. This single sheet identifies you and the vessel about which you are providing information. As noted in the cover letter, this sheet should be returned with the survey booklet and will be retained by my office. This section includes questions about the physical attributes of the vessel, the company that operated it in 1997 and 1998, permits held as well as contacts information in case we have questions about your responses.

Question 3 on page 1 sometimes has more than one value for an entry. For instance, we may have 2 different gross registered ton values for this vessel. This usually comes from having a conflicting numbers in the Coast Guard and Washington, Oregon and California registration files. When this happens, we provide all values. Please circle the correct value listed or if both values are incorrect please provide the correct value.

### **Vessel Characteristics Section**

This section starts on the first page of the survey booklet. This section has questions on some of the operating characteristics of the vessel as well as information about the value of the vessel in 1998.

### **Expenditures Section**

The Expenditures section of the survey starts on page 2 of the booklet. The first table is a 2-page table on pages 2 and 3. This table asks for annual and monthly information on 7 different expenditure categories. It is important that this cost information be provided in the month that the cost was incurred, which may not necessarily be the month in which the cost was actually paid. Providing a monthly breakdown of these costs allows analysts to more closely track the expenditures you incurred with the activity for that month as shown on your fishtickets. Finally, if you were not active in a month, please indicate this by circling the appropriate month.

Page 4 has a table for capital expenses and one for other expenses. We ask that you separate out capital expenditures from other expenses in the same way that you do for accounting purposes so that the total expenses listed in the survey will be in accord with your own financial records. For both capital expenditures and expenses we request the total expenditures for the fiscal year. These 3 expenditure tables were written such that there should be no overlap between the data in these tables.

The Fishery Participation and Revenues section starts on page 5 of the booklet. This section asks for information in which fisheries, West Coast and other, you were active. In addition, questions about average crew size, day of trip length and revenues from non-West Coast fisheries are asked.

### **Other section**

This last section starts on page 6. There are 2 tables and a question in this section. The first table asks about information on the value of lost gear. This question pertains to all fishing gear lost by this vessel in 1997 or 1998, not just trawl related losses. As with the cost questions above, please report gear losses in the month that they occurred not the month you replaced the gear. The second table of this section asks about fuel prices in 1998. This information will allow analysts to track trends in fuel prices over time. The Commission is currently collecting this information, but that effort did not start until this year. The final question of this section pertains to crew shares and the formula used to calculate them.

It is very important that you understand that this is a voluntary survey. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The OMB Control Number for this survey is OMB Control #0648-0369 and expires 04/30/2002.

While this is a voluntary survey, this information is needed to respond to requirements of the Magnuson-Stevens Fishery Conservation and Management Act. In accordance with Section 402(b), the Regulatory Flexibility Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information submitted to NMFS by any person in response to this survey shall be considered confidential and shall not be disclosed except to: (1) federal employees and council employees who are responsible for fishery management plan development and monitoring; (2) state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of this information; or (3) when required by court order.

Public burden for this collection of information is estimated at 2 hours per survey, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing the survey. Send comments regarding this burden estimate or any other aspect of this data collection, including suggestion for reducing the burden, to: Dave Colpo, Pacific States Marine Fisheries Commission, 7600 Sand Point Way NE, Bldg. 4, Seattle, WA 98115-0070.

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

Within the next week you will receive a request to complete a questionnaire we are conducting of West Coast limited entry groundfish trawlers. This survey will be used to collect cost, earnings and employment information about your vessel. This information will help us gain a better gain a better understanding of how various factors can affect the value of the fishery and will provide valuable input into the management decision making process.

The Pacific States Marine Fisheries Commission is administering this survey under a cooperative agreement with the National Marine Fisheries Service. This work is being done in accordance to the West Coast Economic Data Collection Plan adopted jointly by the Pacific Fishery Management Council and the Commission. In addition, the people and organizations whose names and logos appear below support this effort.

I am writing to let you know ahead of time that you will be contacted to participate in the study. I would greatly appreciate your taking the time to complete and return the questionnaire.

Thanks in advance for your help.

Sincerely,

Dave Colpo  
Program Manager



Ralph Brown,  
PFMC

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

As a participant of the West Coast groundfish fisheries, you know the economic importance of these fisheries. However, the ability to conduct economic analyses for management purposes is limited by a lack of data. For this reason, the Pacific States Marine Fisheries Commission, under a cooperative agreement with the National Marine Fisheries Service, is developing an economic program to gather this data. The purpose of this survey is to gather information needed to assess the economic effects of fisheries management decisions on the industry and for assessments of community income impacts and regulatory burden.

As a limited entry groundfish trawler, we are asking that you please provide needed cost, earnings and employment information about your operation. While this is a voluntary survey, these analyses are needed to respond to the requirements of the Magnuson Fishery Conservation and Management Act, the Regulatory Flexibility Act, the National Environmental Policy Act, and Executive Order 12866 on Regulatory Planning and Review. This survey is being conducted pursuant to the West Coast Economic Data Collection Plan adopted jointly by the Pacific Fishery Management Council and the Commission.

You may be assured of complete confidentiality of the data you provide. The attached letter, written by NOAA/NMFS explains their confidentiality policies. In addition, your questionnaire has an identification number for mailing purposes only. This is so that we may check your name off the mailing list when your questionnaire is returned. Your name will never be placed on the questionnaire itself. In addition, the information that identifies you and your vessel is collected on a single sheet, separate from the survey booklet. When you return your questionnaire this sheet will be removed and retained by my office. The surveys will be delivered to Oregon State University Survey Research Center for data entry.

I have included 2 pamphlets that provide more information about this program as well as the survey itself. If you have any questions about this program please feel free to contact me at (206) 526-4251 or toll-free at (888) 425-4251.

Thank you very much for your assistance.  
Sincerely,

Dave Colpo  
Program manager



August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

This letter was prepared to explain National Marine Fisheries Service (NMFS) and National Oceanic and Atmospheric Administration (NOAA) policies regarding the protection of confidential data. This includes data submitted in response to the voluntary Cost, Earnings and Employment Survey being undertaken by the Pacific States Marine Fisheries Commission in cooperation with NMFS Northwest Region.

Protecting the confidentiality of proprietary data provided to the NMFS is not only required by Federal statute and regulation, it is critical to NMFS efforts to obtain the data required to meet its fishery conservation and management responsibilities. NMFS collects and maintains a wide variety of confidential data and has been successful both in preventing unauthorized access to data and in protecting confidential data from release under Freedom of Information Act (FOIA) requests.

It is NOAA's position that the information submitted in the Cost, Earnings and Employment Survey will be treated as confidential and will be protected from FOIA requests by Exemption 4 of FOIA. Under NOAA policy on confidential data, only the results of the survey, aggregated at a level that will not compromise individual confidentiality, will be reported to the public. The basis for this position is presented below.

Exemption 4 states that information which is: 1) commercial or financial; and 2) privileged or confidential is generally exempt from disclosure. Commercial or financial information specifically includes business sales statistics, profit and loss data, overhead and operating costs, and information on financial conditions. Commercial or financial information is considered confidential for purposes of Exemption 4 if the disclosure of the information is likely to: 1) impair the government's ability to obtain necessary information in the future; or 2) cause substantial harm to the competitive position of the person submitting the information. It is NOAA's position that both of these conditions are met by the Cost, Earnings and Employment Survey data.

Additional protection may be provided to the Cost, Earnings and Employment Survey data because it will be submitted voluntarily. In Critical Mass Energy Project v. Nuclear Regulatory Comm'n, 975 F.2d 871 (D.C. Cir 1992) (en banc), the court ruled that Exemption 4 protects any commercial or financial information voluntarily supplied to the government if the information is of a kind that the provider would not customarily release to the public. It is NOAA's position that this conditions is met for the Cost, Earnings and Employment Survey data. NMFS has implemented a series of controls to protect the identity of submitters of confidential data. The control system for a particular region is described in a Regional Data Security Handbook maintained by each region's Data Base Administrator (RDBA). Specifically it:

- (1) Identifies those persons who have access to statistics/data files on a named basis and under what conditions;
- (2) Contains procedures to limit access to confidential data to authorized users on a "need to know basis;" and
- (3) Provides for safeguarding the data through user and password restrictions that govern access to databases. Source data (e.g., paper records) are maintained under lock and key until no longer needed; then they are burned or shredded.

This system requires that all persons who have authorized access to the data be informed of the confidentiality of the data. These persons are required to sign and file with the regional RDBA a statement of non-disclosure that includes statements that they:

- (1) Have been informed that the data are confidential; and
- (2) Have reviewed and are familiar with the procedures to protect confidential statistics
- (3) Are aware of the penalties for violation of the non-disclosure statement

Persons having access to these data are prohibited from unauthorized use or disclosure, and are subject to the civil and criminal penalty provisions of 18 U.S.C. 1905, 16 U.S.C. 1857, and NOAA/NMFS internal procedures, including NOAA Administrative Order 216-100.

NMFS realizes that the data collected through the Cost, Earnings and Employment Survey is particularly sensitive. Authorized access to this data will be strictly limited and all necessary precautions will be taken to assure that the data is secure from unauthorized access.

With your cooperation, we believe that the Cost, Earnings and Employment Survey will provide information that is critical for improving our ability both to measure the economic importance of the West Coast groundfish fisheries and to determine the economic effects of fishery management decisions. Therefore, we encourage you to participate in the survey.

Please contact one of us if you want additional information about the confidentiality of the survey data.

Sincerely,

Randy Fisher

William W. Stelle, Jr.

Usha S. Varanasi

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

About 3 weeks ago a questionnaire seeking cost, earnings and employment information for your vessel was mailed to you. If you have already completed and returned the questionnaire to us, please accept our sincere thanks. If not, please do so today. We are especially grateful for your help, as this information is important to West Coast fisheries analysts and managers.

If you did not receive a questionnaire, or if it was misplaced, please call me at (206) 526-4251 or toll-free at (888) 421-4251 and we will send you a new copy.

Sincerely,

Dave Colpo  
Pacific States Marine Fisheries Commission  
7600 Sand Point Way NE, Building 4  
Seattle, WA 98115-0070

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

About 5 weeks ago we wrote to you asking for information about your fishing operation. As of today, we have not received your completed questionnaire. We realize that you may not have had time to complete it. However, we would genuinely appreciate hearing from you.

This work is being done to help provide the Pacific Fishery Management Council, its analysts and the analysts of the National Marine Fisheries Service with important cost, earning and employment information. In order for the results of the study to be useful, it is essential that each person make every effort to return a completed survey.

In the event that your questionnaire has been misplaced, a replacement is enclosed. I would be happy to answer any questions you may have about this work. Please write or call me at (206) 526-4251 or toll-free at (888) 421-4251.

Sincerely,

Dave Colpo  
Program Manager

## **Attachment H - List of Potential Questions Catcher and Charter Vessels**

- Date surveyed completed.
- Name, title (owner, lessee, captain, etc.) of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make/model?
  - What is the horsepower?
  - How old is each piece of equipment?
  - What was the cost of each engine?
  - What is the remaining expected useful life?
  - When was the last complete overhaul?
  - What is the expected replacement cost?
- What type(s) of equipment, e.g., electronics, gear-mounted electronics, deck gear, fishing gear (both on land and in the water (soaking) and including bycatch reduction devices), refrigeration, does this vessel have on board? For each item or category,
  - What was the total or average cost and quantity of equipment purchased this year?
  - What is the value and quantity of existing equipment (purchased in previous years)?
  - What is the remaining expected useful life of this equipment?
  - What is the expected replacement cost of this equipment?
  - Describe usage (hours used per day, percentage of time used, etc.).
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What is the remaining expected useful life of this vessel as a fishing vessel?
- What is the homeport for this vessel?
- In which port was the majority of vessel maintenance done?
- In what year was the last major structural modification made to this vessel?
  - What was that modification?
  - Where was this work done?
  - How often do you pull your vessel out of the water (drydock)?
  - How many days was the vessel in drydock?

- Which of the following storage capabilities does the vessel have? What is its capacity?
  - Ice
  - Freezer
  - Live Fish Hold
  - Refrigerated Sea Water
  - Fish Meal
- What types of processing equipment are available on board this vessel?
  - What is the make of each type?
  - What is the model of each type?
  - How many is there of each type?
  - How old is each type?
  - What is the expected remaining useful life of each type?
- Does this vessel use an automatic baiter?
  - If yes, what is the make?
  - If yes, what is the model?
  - If yes, what is the remaining expected useful life of this equipment?
- Without major structural modifications:
  - What type(s) of fishing gear is the vessel readily able to use?
  - How much of each type of fishing gear can the vessel readily use?
- How many berths does this vessel have?
- Does this vessel have an open deck or closed deck?

## **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual and percentage of vessel owned
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
  - If owned, indicate percentage owned.
- Does a management company run this vessel?
  - If yes, please provide contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Is this vessel owned by a company that owns other vessels?
  - Identify other vessels owned.
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend fishing commercially or participating in commercial fishing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

### Question 3. Capital Costs

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?
  - What were the vessel's depreciation costs in period x including all gear and equipment?
  - What is the book value of the vessel including all gear and equipment?
  - What is the estimated market value of the vessel including all gear and equipment?
  - What is the estimated market value of the electronic equipment on this vessel?
  - What is the estimated market value of the fishing gear for this vessel?
  - What is the estimated market value of the processing equipment on this vessel?
  - Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
    - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
  - If you lease limited entry permits:
    - How much was spent to lease permits?
    - For how long did you lease the permit in year X?
    - For which particular fisheries are you leasing the permit?
  - If you own limited access permits:
    - When did you purchase these permits and what was their purchase price?
    - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
    - How likely are you to sell your limited access permit if a buyback program were offered?  
Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
    - If you were interested in selling your permit, what would be a fair price for your permit?
    - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
  - What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
  - What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
  - Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
    - If yes, what is it?
    - If yes, what is the estimated market value of each type of capital?

**Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
  - In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense: including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - permit and license fees
  - taxes: fishery landing/business taxes; federal, state or local income taxes or income tax rates; property tax; payroll tax
  - insurance: hull; protection and indemnity (P&I); health or medical; vehicle; other
  - routine vessel and equipment maintenance (not including fishing gear)
  - non-routine maintenance (i.e., major overhauls, new engine, refittings)
  - management salaries or fees
  - gear loss and maintenance
  - vessel moorage or storage or gear storage associated with this vessel
  - catch storage
  - travel or relocation expenses
  - other shore costs (e.g., vehicle or trailer expense, property leases)
  - other fixed costs (please give only the total amount for other fixed costs but list below the components of that total)
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

**Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the price, quantity, unit size, and/or cost of:
    - fuel/lubricant?
    - bait?
    - light sticks?
    - salt?
    - ice costs and quantities?
    - water costs?
  - What were the costs of
    - food?
    - supplies?
    - handling, including loading and unloading, transportation, grading, packaging?
    - transshipment?
    - settlement fees?
    - waste disposal?
    - communication?



- onboard processing costs?
  - If observers were carried on board, what were the observer costs?
- In period x, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
  - If a crew share system was used, please describe it.
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were other payments to labor?
  - What were the benefit costs to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?

#### **Question 6. Effort/Gear Descriptors**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea and active in fishing
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:
  - Number of trips, days at sea
  - what was the pre-season set-up time?
  - what were the revenues (including post-season settlements)?
- For each of the gear/fishery combinations in which this vessel was active:
  - how many days were spent away from port/at sea in an average period?
  - how many days were spent fishing in an average period?
  - how many days were spent searching in an average period?
- For a typical species/gear combination trip:
  - how long is the typical trip in days?
  - what constitutes a typical crew, by position?
  - what is the break-even revenue for a trip?

#### **Question 7. Catch/Revenue**

- Did this vessel participate in any {specify region} commercial fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the revenues received from these landings by species and grade?
- Did this vessel receive any post-season settlements in period x?
  - If yes, what was the approximate value of the settlement(s) received?
  - If yes, what was the species and weight of fish associated with each settlement(s)?

- If yes, what time of was year the catch was landed?
- In addition to what was paid for the fish, were goods or services received for deliveries made by this vessel in period x?
  - If yes, what type(s) of goods/services were received?
  - If yes, what was the approximate value of the goods/services received?
- Excluding the fishing income related to the {specified region} landings, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

#### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during period x, what would have been the next best possible use of the vessel and how would that have affected profitability?

#### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage expended locally (in the county of the vessel's homeport); the percentage expended in state but outside the county of the vessel's homeport; the percentage expended in region (e.g., Northeast, Mid Atlantic Southeast, Gulf, West Coast, Alaska); the percentage expended in other US states; and the percentage expended abroad. For crew members, consider the expenditure to be made in the crewmember's county of residence.

##### **Example for West Coast vessel:**

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	Home state <u>WOC</u>	<u>Other US</u>	<u>non-US</u>
Vessel/Engine Repair/Replacement					
Gear Repair/Replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Crew Share					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging Materials					
Transportation					
Communication					
Moorage					

## Miscellaneous

### Question 10. Labor/Employee/Family

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.
- Employee demographics.
  - Name, birth date (age), and contact information.
  - Respondent's ancestry or ethnic origin: American Indian or Alaskan native (specify tribe); Asian (specify, e.g., Cambodian, Vietnamese, Korean); Native Hawaiian or other Pacific Islander (specify, e.g., Guamese, Native Hawaiian); Black or African American (black racial groups only) (specify country of ancestry, e.g., US, Haitian, South African, Ugandan); White (specify country of ancestry, e.g., Italian, Norwegian, Portuguese, Lebanese).
  - Is the respondent Hispanic or Latino (e.g. Mayan, Mexican, Guatemalan, Salvadoran)?
  - Language respondent speaks at home, i.e., English, Spanish, Portuguese, Vietnamese, Korean, Italian
  - Percentage of respondent's annual income from fishing and related industries, e.g., processing, packing, dealing, gear manufacture, etc.?
  - Household income or percentage of household annual income from fishing/fishing related activities, e.g., fishing, processing, packing, dealing, gear manufacture, etc.?
  - Does the respondent belong to any fishing related organizations?
    - If so which one (s)?
  - What is the highest degree or level of school the respondent has completed?
  - Marital status
  - Number of persons in household
  - Religion
  - Other types of employment engaged in other than fishing
  - Months usually engaged in other employment
  - Number of years respondent has fished commercially or in survey fishery
  - Crew only: How many captains has the respondent fished with over the last five years?
  - Captain only: Years of experience as captain; how many owners has the respondent fished for over the last five years?

### Question 11. Other

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, product quality, catch per unit effort, percentage of time spent searching, percentage of time laid up, targeting strategies, fixed and variable costs, input configurations, crew compensation and turnover, vessel investments, your catch share?
- By fishery/gear/season if the season were extended by x days, would this vessel take part in the extended season?
  - If yes, in what activities would the vessel have otherwise been engaged if the season were not extended?

- If yes, what would the expected gross and net revenues be for this additional period of fishing?
- If yes, how would the ex-vessel price paid by processors be affected?
- If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
- If the same quantity of fish were landed over a period x days longer than the past season, how would utilization rates, product quality, and harvesting cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
  - If yes, did the vessel receive a higher price for fish caught under the CDQ than for fish caught in an open-access fishery?
  - If yes, was the vessel obligated to take the entire CDQ contracted for?
  - If yes, was the CDQ used to locate fish prior to a season opening?
- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
  - What changes in financial performance can be attributed to changes in fishing regulations?
- What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
  - What additional data (if any) not asked for in this survey might they require?
- Please list the fish buyers and processors for which this vessel fished on market orders in period x.
- Describe the types of contractual arrangement by which fish were supplied to each processor.
- Please indicate to which of the following this vessel sold its products in period x: independent processors, processors within the same company that owns the vessel, foreign buyers, restaurants, retailers, and consumers.
- By fishery/season, how would harvesting the same quantity of fish over a period x days longer than last season affect catch per unit effort, fish quality, and harvesting cost per metric ton of product?
- By fishery/season, how has harvesting fish over a period x days longer than another past season affected catch per unit effort, targeting strategies, fish quality, and harvesting cost per metric ton of product?
- What were the ex-vessel prices by species, grade and season?
- What were the estimated costs for each day spent fishing by season?

## **Attachment I - List of Potential Questions for Shoreside Processors**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Plant Characteristics**

- What are the federal and state ID codes for this plant?
- What type(s) of processing equipment are available at the plant?
  - What is the make of each type?
  - What is the model of each type?
  - How many of each type?
  - What is the expected remaining useful life of each type?
- In what year was the plant purchased?
- In what year was this plant built?
- How much storage space for fish meal does the plant have?
- How much non-cold storage floor space does the plant have?
- What is the processing capacity of the plant by product/species in metric tons (or pounds) per period?
- What is the freezing capacity of the plant in metric tons of product per period?
- How many cubic feet of freezer storage does the plant have?
- Fishery participation:
  - What species are processed at this plant?
  - What products are produced in the plant?
- By product type, to which markets are products sold?
- What are the sources of fish product? (e.g., domestic vessel deliveries to the plant from the EEZ off the West Coast; fish landed on the West Coast by domestic fishing vessels and shipped to the plant from other parts of the West Coast area; domestic fish (fish delivered by domestic fishing vessels) shipped to the West Coast from outside the area; fish imported from outside the country; fish shipped in from outside the EEZ or Alaska)
- Does the plant have waterfront access for receiving fish?
- Do you process other products besides fish in these plants?

### **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- What is the name and contact information for primary owner of the plant?
- What is the name of the company that owns this plant?
- What is this company's main address?
- Who is the primary contact regarding this plants' operations in the event we need to contact him/her for further information?
- Please provide contact information for this individual.
- Is this plant owned or leased by the operator?
- Does a management company run this plant?
  - If yes, please provide contact information for this company.
- Do the owners of this plant also own catcher vessels?
  - If yes, please provide vessel identification.
- Is this plant owned by a company that owns catcher vessels?
- Is this plant owned by a company that owns other plants?

- How much time does the owner(s) spend processing commercially or participating in commercial processing activities?
- Does the plant employ buyers in other ports?
- Is the plant a processing facility or a buying station?

### Question 3. Capital and Land Costs

- The following questions deal with the long-term debt position associated with this plant in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this plant is owned, what were the total debt/interest expenses in period x?
  - If this plant is leased, what were the total lease payments in period x?
  - What were the plant's depreciation costs in period x including all gear, equipment and land?
  - What is the book value of the plant including all gear, equipment and land?
  - What is the estimated market value of the plant including all gear, equipment and land?
  - What is the estimated market value of the processing equipment in this plant?
  - What is the estimated market value of the land on which this plant sits?
  - Does this plant have any limited access permits/licenses or quota shares attached to it?
    - If yes, what is the estimated market value of each type of licenses/shares?
  - If you lease limited entry permits:
    - How much was spent to lease permits?
    - For how long did you lease the permit in year X?
    - For which particular fisheries are you leasing the permit?
  - If you own limited access permits:
    - When did you purchase these permits and what was their purchase price?
    - What is the estimated current market value of each type of permits/licenses/shares?
    - How likely are you to sell your limited access permit if a buyback program were offered?  
 Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
  - If you were interested in selling your permit, what would be a fair price for your permit?
  - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
  - What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
 0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
  - What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
- Is there any other capital with a replacement cost greater than \$x owned by or associated with this plant?
  - If yes, what is it?
  - If yes, what is the estimated market value of each type of capital?

**Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this plant
  - income taxes
  - other taxes associated with this plant not including income taxes or fishery business taxes based on amount of fish landed (e.g., property taxes)
  - P&I associated with this plant
  - other insurance associated with this plant (not including P&I)
  - routine plant and equipment maintenance
  - non-routine maintenance (i.e., major overhauls, refittings)
  - management salaries or fees
  - other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
  - finished product storage
  - utilities
  - property taxes
- Did the plant lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- Does this plant operate seasonally?
  - If yes, what was cost of opening plant?
  - If yes, how much lead time was required to hire crews, etc.?

**Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this plant:
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the plant's utility costs and quantities?
  - What were the ice costs and quantities?
  - What were the food costs?
  - What were the water costs?
  - What were the product additive costs and quantities?
  - What were the packaging costs?

- What were the bait costs and quantities for each type of bait used?
- What were other supply costs?
- What were the total loading and unloading costs?
- What were the waste disposal costs?
- What were the communication costs?
- If observers were at the plant, what were the observer costs?
- What were shipping costs?
- What were the ex-vessel fish costs by species?
- In addition to what was paid for fish, did this plant provide any goods or services for deliveries in period x?
  - If yes, what types of goods/services did the company provide?
  - If yes, what was the approximate cost of the goods/services provided?
- Did the plant provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- How was each position paid? (e.g., salaries, hourly, share system)
- How were processing labor costs calculated?
- Does this plant provide or subsidize room and board for employees?
  - If yes, what were the costs incurred for this room and board?
- For other labor only:
  - How much was spent in period x on non-management wages?
- How much was spent in period x on management salaries?
- How much was spent in period x on benefits?
- How much was spent in period x on other labor related costs?
- What were labor recruitment costs in period x?
- What were labor transportation costs in period x?

### **Question 6. Effort**

- Please indicate the number of days in year X the plant spent in each of the following activities:
  - active in processing
  - shut down for maintenance
  - idle due to lack of <<economically viable>> processing opportunities?
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent processing in an average period?
  - how many processing shifts were there per day?
  - what was the average length of each shift?

### **Question 7. Revenue**

- What were the ex-processor quantities and prices by species, product form and quality/grade?
- What was the ex-processed value of product FOB {insert state, city, e.g., FOBAAlaska or FOB Seattle} by species, product form and quality/grade?
- On average what percentage of plant sales were written off as bad debt expense in period x?
- Did this plant have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the plant get from each source?



- In addition to what was paid for the fish, were goods or services provided for deliveries made to this plant in period x?
  - If yes, what type(s) of goods/services were provided?
  - If yes, what was the approximate value of the goods/services provided?

#### **Question 8. Opportunity Cost**

- For each fishery and period in which the plant participated during period x, what would have been the next best possible use of the plant and how would that have affected profitability?

#### **Question 9. Regional Impact**

- For each of the following cost categories please specify the plant's total annual expenditures; the percentage expended locally (in the county of the plant's homeport); the percentage expended in state but outside the county of the plant's homeport; the percentage expended in region (e.g., Northeast, Mid Atlantic, Southeast, Gulf, West Coast, Alaska); the percentage expended in other US states; and the percentage expended abroad. For labor, consider the expenditure to be made in the laborer's county of residence. (This question will be presented in tabular format.)

##### **Example for West Coast vessel:**

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	Home state <u>WOC</u>	<u>Other US</u>	<u>non-US</u>
Plant/Equipment Repair					
Fuel & Electric					
Food and Supplies					
Ice and Bait					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging materials					
Transportation					
Communication					
Moorage					
Miscellaneous					

#### **Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- Employee demographics.
  - Name, birth date (age), and contact information.
  - Respondent's ancestry or ethnic origin: American Indian or Alaskan native (specify tribe); Asian (specify, e.g., Cambodian, Vietnamese, Korean); Native Hawaiian or other Pacific Islander (specify, e.g., Guamese, Native Hawaiian); Black or African American

(black racial groups only) (specify country of ancestry, e.g., US, Haitian, South African, Ugandan); White (specify country of ancestry, e.g., Italian, Norwegian, Portuguese, Lebanese).

- Is the respondent Hispanic or Latino (e.g. Mayan, Mexican, Guatemalan, Salvadoran)?
- Language respondent speaks at home, i.e., English, Spanish, Portuguese, Vietnamese, Korean, Italian
- Percentage of respondent's annual income from fishing and related industries, e.g., processing, packing, dealing, gear manufacture, etc.?
- Household income or percentage of household annual income from fishing/fishing related activities, e.g., fishing, processing, packing, dealing, gear manufacture, etc.?
- Does the respondent belong to any fishing related organizations?
  - If so which one (s)?
- What is the highest degree or level of school the respondent has completed?
- Marital status
- Number of persons in household
- Religion
- Other types of employment engaged in other than fishing
- Months usually engaged in other employment

#### **Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, percentage of time laid up, product recovery rates, product quality and grades, product forms, fixed and variable costs, input configurations, crew compensation and turnover, plant investments, your processing share?
- By fishery/season:
  - If the season were extended by x days, would this plant take part in the extended season?
    - If yes, what activities would the plant be engaged in if the season was not extended?
    - If yes, what would the expected gross and net revenues be for this additional period of fishing?
  - If the season were extended by x days, how would the ex-vessel price paid to catcher boats be affected?
    - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
  - If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
  - Has this plant participated in any Community Development Quota (CDQ) fisheries?
    - If yes, was monetary compensation paid to the quota holder?
    - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
    - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
    - If yes, was the plant obligated to take the entire CDQ contracted for?
    - If yes, did the plant pay a higher price for fish caught under the CDQ than fish caught in the open-access fishery?

- If yes, did the plant receive a higher price for products produced from CDQ fish?
- If yes, were products produced from CDQ fish of a different quality than those produce from non-CDQ fish of the same species?
- If yes, was the recovery rate different for products processed from CDQ fisheries?
- What measures do you use to assess the financial performance of the plant?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
- What changes in financial performance can be attributed to changes in fishing regulations?
- What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
  - What additional data (if any) not asked for in this survey might they require?
- Please list the catcher boats that fished on contractual arrangements/market orders for this plant in period x.
  - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.
- Please indicate to which of the following the plant sold its products in year X: independent wholesalers, other processors, marketing branch within the same company that owns the plant, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?
- By fishery/season, how has processing fish over a period x days longer than another past season affected product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?
- What were the estimated costs for each day spent processing by season?

## **Attachment J - List of Potential Questions Motherships**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make?
  - What is the model?
  - What is the horsepower?
  - How old is each engine?
  - What is the remaining expected useful life of each engine?
  - When was the last complete engine overhaul?
- What type(s) of electronic equipment does this vessel have on board?
  - What is the remaining expected useful life of this equipment?
- What is the vessel's hold capacity (in pounds of fish)?
- What is the remaining expected useful life of this vessel (as a fish processing vessel)?
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What is the homeport for this vessel?
- In which port is the majority of vessel maintenance done?
- In what year was the last structural modification made to this vessel?
  - What was that modification?
  - Where was this work done?
- Which of the following storage capabilities does the vessel have?
  - Ice
  - Freezer
  - Live Fish Hold
  - RSW
  - Fish Meal
- What types of processing equipment are available on board this vessel?
  - What is the make of each type?
  - What is the model of each type?
  - How many is there of each type?

- How old is each type?
- What is the expected remaining useful life of each type?
- What is the total area and volume of the vessel's cold storage facilities?
- How much frozen product can the vessel hold?
- How much freezer storage space does the vessel have?
- How much non-cold storage volume does the vessel have?
- How much storage space does the vessel have for fish meal?
- What is the vessel's processing capacity by species/product per period (in metric tons or pounds)?
- For each product the vessel freezes, what is the freezing capacity of the vessel per period?
- What species are processed on board this vessel?
- What products are processed on board this vessel?
- To which markets are products sold?

### **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual.
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
- Does a management company run this vessel?
  - If yes, please provide the contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Do the owners of this vessel also own catcher vessels?
  - If yes, please provide vessel identification.
- Is this vessel owned by a company that owns other vessels?
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend processing commercially or participating in commercial processing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

### **Question 3. Capital Costs**

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?
  - What were the vessel's depreciation costs in period x including all gear and equipment?

- What is the book value of the vessel including all gear and equipment?
- What is the estimated market value of the vessel including all gear and equipment?
- What is the estimated market value of the electronic equipment on this vessel?
- What is the estimated market value of the fishing gear for this vessel?
- What is the estimated market value of the processing equipment on this vessel?
- Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
  - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
- If you lease limited entry permits:
  - How much was spent to lease permits?
  - For how long did you lease the permit in year X?
  - For which particular fisheries are you leasing the permit?
- If you own limited access permits:
  - When did you purchase these permits and what was their purchase price?
  - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
  - How likely are you to sell your limited access permit if a buyback program were offered?  
 Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
  - If you were interested in selling your permit, what would be a fair price for your permit?
  - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
- What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
 0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
- What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
- Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
  - If yes, what is it?
  - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this vessel
  - income taxes

- other taxes associated with this vessel not including income taxes or fishery business taxes based on amount of fish landed (e.g., property taxes)
- P&I associated with this vessel
- other insurance associated with this vessel (not including P&I)
- routine vessel and equipment maintenance (not including fishing gear)
- non-routine maintenance (i.e., major overhauls, new engine, refittings)
- management salaries or fees
- gear loss
- vessel moorage or storage or gear storage associated with this vessel?
- other shore costs
- other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
- Did the vessel lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

#### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were the benefit costs to crew?
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the ice costs and quantities?
  - What were the food costs?
  - What were the water costs?
  - What were the product additive costs and quantities?
  - What were the packaging costs?
  - What were the bait costs and quantities for each type of bait used?
  - What were other supply costs?
  - What were the total loading and unloading costs?
  - What were the waste disposal costs?
  - What were the communication costs?
  - If observers were carried on board, what were the observer costs?
  - What were the ex-vessel fish costs by species?
  - In addition to what was paid for fish, did this vessel provide any goods or services for deliveries in period x?
    - If yes, what types of goods/services did the company provide?

- If yes, what was the approximate cost of the goods/services provided?
- Did the vessel provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- What were shipping costs?
- In year X, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
- How were processing labor costs calculated?
- If a crew share system was used, please describe it.
- For other labor only:
  - How much was spent in period x on non-management wages?
  - How much was spent in period x on management salaries?
  - How much was spent in period x on benefits?
  - How much was spent in period x on other labor related costs?
  - What were labor recruitment costs in period x?
  - What were labor transportation costs in period x?

#### **Question 6. Effort/Crew Descriptors**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea active in processing
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent away from port in an average period?
  - what is/was the minimum number of days the vessel would be expected to spend in port between fishing trips?
  - how many days were spent processing in an average period?
  - what constitutes a typical crew, by position?
  - how many processing shifts were there per day?
  - what was the average length of each shift?

#### **Question 7. Catch/Revenue**

- Did this vessel participate in any West Coast or Alaska fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the quantities of product by species, product form and quality/grade for each period?
  - If yes, what were the revenues associated with this production by species, product form and quality/grade for each period?



- If yes, were any of these product sales transactions within the company or between subsidiaries of a larger company and if so which?
- What were the ex-processor quantities and prices by species, product form and quality/grade?
- What was the ex-processed value of product FOB Alaska or FOB Seattle by species, product form and quality/grade?
- On average what percentage of plant sales were written off as bad debt expense in period x?
- What were the estimated recovery rates for each product by species?
- Did this plant have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the plant get from each source?
- Excluding the fishing income related to the Alaska landings described above and landings for which West Coast fish tickets were filled out, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

#### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during year X, what would have been the next best possible use of the vessel and how would that have affect profitability?

#### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage spent in Alaska; the percentage spent in Washington; the percentage spent in Oregon; the percentage spent California; the percentage spent in other states and the percentage spent abroad. For crewmembers, consider the expenditure to be made in the crewmembers county of residence. (This will be in tabular form)

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	Home state <u>WOC</u>	<u>Other US</u>	<u>non-US</u>
Vessel/Engine repair/replacement					
Gear repair/replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					

Packaging materials  
Transportation  
Communication  
Moorage  
Miscellaneous

**Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.
- Employee demographics.
  - Name, birth date (age), and contact information.
  - Respondent's ancestry or ethnic origin: American Indian or Alaskan native (specify tribe); Asian (specify, e.g., Cambodian, Vietnamese, Korean); Native Hawaiian or other Pacific Islander (specify, e.g., Guamese, Native Hawaiian); Black or African American (black racial groups only) (specify country of ancestry, e.g., US, Haitian, South African, Ugandan); White (specify country of ancestry, e.g., Italian, Norwegian, Portuguese, Lebanese).
  - Is the respondent Hispanic or Latino (e.g. Mayan, Mexican, Guatemalan, Salvadoran)?
  - Language respondent speaks at home, i.e., English, Spanish, Portuguese, Vietnamese, Korean, Italian
  - Percentage of respondent's annual income from fishing and related industries, e.g., processing, packing, dealing, gear manufacture, etc.?
  - Household income or percentage of household annual income from fishing/fishing related activities, e.g., fishing, processing, packing, dealing, gear manufacture, etc.?
  - Does the respondent belong to any fishing related organizations?
    - If so which one (s)?
  - What is the highest degree or level of school the respondent has completed?
  - Marital status
  - Number of persons in household
  - Religion
  - Other types of employment engaged in other than fishing
  - Months usually engaged in other employment
  - Number of years respondent has fished commercially or in survey fishery
  - Crew only: How many captains has the respondent fished with over the last five years?
  - Captain only: Years of experience as captain; how many owners has the respondent fished for over the last five years?

**Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, percentage of time laid up, product recovery rates, product quality and grades, product forms, fixed and variable costs, input configurations, crew compensation and turnover, plant investments, your processing share??
- By fishery/season:

- If the season were extended by x days, would this vessel take part in the extended season?
  - If yes, what activities would the vessel be engaged in if the season were not extended?
  - If yes, what would the expected gross and net revenues be for this additional period of fishing?
- If the season were extended by x days, how would the ex-vessel price paid to catcher boats be affected?
  - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
- If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
  - If yes, was the vessel obligated to take the entire CDQ contracted for?
  - If yes, did the vessel pay a higher price for fish caught under the CDQ than fish caught in the open-access fishery?
  - If yes, did the vessel receive a higher price for products produced from CDQ fish?
  - If yes, were products produced from CDQ fish of a different quality than those produce from non-CDQ fish of the same species?
  - If yes, was the recovery rate different for products processed from CDQ fisheries?
- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
  - What changes in financial performance can be attributed to changes in fishing regulations?
  - What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
  - What additional data (if any) not asked for in this survey might they require?
- Please list the catcher boats that fished on contractual arrangements/market orders for this vessel in period x.
  - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.
- Please indicate to which of the following the vessel sold its products in year X: independent wholesaler, other processors, marketing branch within the same company as that which owns the vessel, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?

- By fishery/season, how has processing fish over a period x days longer than another past season affected product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?
- What were the estimated costs for each day spent processing by season?

## **Attachment K - List of Potential Questions Catcher-Processors**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make?
  - What is the model?
  - What is the horsepower?
  - How old is each engine?
  - What is the remaining expected useful life of each engine?
  - When was the last complete engine overhaul?
- What type(s) of electronic equipment does this vessel have on board?
- What is the remaining expected useful life of this equipment?
- What is the vessel's hold capacity (in pounds of fish)?
- What is the remaining expected useful life of this vessel as a fishing vessel?
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What was the homeport of this vessel?
- In which port was the majority of vessel maintenance done?
- In what year was the last major structural modification made to this vessel?
- What was that modification?
- Where was this work done?
- Which of the following storage capabilities does the vessel have?
  - Ice
  - Freezer
  - Live Fish Hold
  - RSW
  - Fish Meal
- What types of processing equipment are available on board this vessel?
  - What is the make of each type?
  - What is the model of each type?

- How much is there of each type?
- How old is each type?
- What is the expected remaining useful life of each type?
- What is the total area and volume of the vessel's cold storage facilities?
- How much frozen product can the vessel hold?
- How much freezer storage space does the vessel have?
- How much non-cold storage volume does the vessel have?
- How much storage space does the vessel have for fish meal?
- What is the vessel's processing capacity by species/product per period (in metric tons or pounds)?
- For each product the vessel freezes, what is the freezing capacity of the vessel per period?
- What species are processed on board this vessel?
- What products are processed on board this vessel?
- To which markets are the products sold?
- Does the vessel use an automatic baiter?
  - If yes, what is the make?
  - If yes, what is the model?
  - If yes, what is the remaining expected useful life of this equipment?
- Without major structural modifications:
  - What type(s) of fishing gear is the vessel readily able to use?
  - How much of each type of fishing gear can the vessel readily use?

## **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual.
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
- Does a management company run this vessel?
  - If yes, please provide contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Do the owners of this vessel also own catcher vessels?
  - If yes, please provide vessel identification.
- Is this vessel owned by a company that owns other vessels?
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend fishing commercially or participating in commercial fishing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

### **Question 3. Capital Costs**

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?
  - What were the vessel's depreciation costs in period x including all gear and equipment?
  - What is the book value of the vessel including all gear and equipment?
  - What is the estimated market value of the vessel including all gear and equipment?
  - What is the estimated market value of the electronic equipment on this vessel?
  - What is the estimated market value of the fishing gear for this vessel?
  - What is the estimated market value of the processing equipment on this vessel?
  - Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
    - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
  - If you lease limited entry permits:
    - How much was spent to lease permits?
    - For how long did you lease the permit in year X?
    - For which particular fisheries are you leasing the permit?
  - If you own limited access permits:
    - When did you purchase these permits and what was their purchase price?
    - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
    - How likely are you to sell your limited access permit if a buyback program were offered?  
Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
    - If you were interested in selling your permit, what would be a fair price for your permit?
    - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
  - What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
  - What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
  - Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
    - If yes, what is it?
    - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this vessel
  - income taxes
  - other taxes associated with this vessel not including income taxes or fishery business taxes based on amount of fish landed (e.g., property taxes)
  - P&I associated with this vessel
  - other insurance associated with this vessel (not including P&I)
  - routine vessel and equipment maintenance (not including fishing gear)
  - non-routine maintenance (i.e., major overhauls, new engine, refittings)
  - management salaries or fees
  - gear loss
  - vessel moorage or storage or gear storage associated with this vessel?
  - other shore costs
  - other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
- Did the vessel lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

#### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were the benefit costs to crew?
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the ice costs and quantities?
  - What were the food costs?



- What were the water costs?
- What were the product additive costs and quantities?
- What were the packaging costs?
- What were the bait costs and quantities for each type of bait used?
- What were other supply costs?
- What were the total loading and unloading costs?
- What were the waste disposal costs?
- What were the communication costs?
- If observers were carried on board, what were the observer costs?
- If the vessel purchased fish from catcher vessels, what were the ex-vessel fish costs by species?
- In addition to what was paid for fish, did this vessel provide any goods or services for deliveries in period x?
  - If yes, what types of goods/services did the company provide?
  - If yes, what was the approximate cost of the goods/services provided?
- Did the vessel provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- What were shipping costs?
- In year X, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
- How were processing labor costs calculated?
- If a crew share system was used, please describe it.
- For other labor only:
  - How much was spent in period x on non-management wages?
  - How much was spent in period x on management salaries?
  - How much was spent in period x on benefits?
  - How much was spent in period x on other labor related costs?
  - What were labor recruitment costs in period x?
  - What were labor transportation costs in period x?

### **Question 6. Effort**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea and active in fishing and processing
  - at sea but processing only
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent away from port in an average period?
  - what is/was the minimum number of days the vessel would be expected to spend in port between fishing trips?
  - how many days were spent processing in an average period?

- what constitutes a typical crew, by position?
- how many processing shifts were there per day?
- what was the average length of each shift?

### **Question 7. Catch/Revenue**

- Did this vessel participate in any West Coast or Alaska fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the quantities of product by species, product form and quality/grade for each period?
  - If yes, what were the revenues associated with this production by species, product form and quality/grade for each period?
  - If yes, were any of these product sales transactions within the company or between subsidiaries of a larger company and if so which?
- What were the ex-processor quantities and prices by species, product form and quality/grade?
- What was the ex-processed value of product FOB Alaska or FOB Seattle by species, product form and quality/grade?
- On average what percentage of vessel sales were written off as a bad debt expense in period x?
- Did this vessel have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the vessel get from each source?
- Excluding the fishing income related to the Alaska and West Coast landings, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during period x, what would have been the next best possible use of the vessel and how would that have affected profitability?

### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage expended locally (in the county of the vessel's homeport); the percentage expended in state but outside the county of the vessel's homeport; the percentage expended in Washington, Oregon and California; the percentage expended in AK; the

percentage expended in other US states; and the percentage expended abroad. For crewmembers, consider the expenditure to be made in the crewmember's county of residence.

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	Home state <u>WOC</u>	<u>Other US</u>	<u>non-US</u>
Vessel/Engine/Gear Repair/Replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Crew Share					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging materials					
Transportation					
Communication					
Moorage					
Miscellaneous					

#### **Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.
- Employee demographics.
  - Name, birth date (age), and contact information.
  - Respondent's ancestry or ethnic origin: American Indian or Alaskan native (specify tribe); Asian (specify, e.g., Cambodian, Vietnamese, Korean); Native Hawaiian or other Pacific Islander (specify, e.g., Guamese, Native Hawaiian); Black or African American (black racial groups only) (specify country of ancestry, e.g., US, Haitian, South African, Ugandan); White (specify country of ancestry, e.g., Italian, Norwegian, Portuguese, Lebanese).
  - Is the respondent Hispanic or Latino (e.g. Mayan, Mexican, Guatemalan, Salvadoran)?
  - Language respondent speaks at home, i.e., English, Spanish, Portuguese, Vietnamese, Korean, Italian
  - Percentage of respondent's annual income from fishing and related industries, e.g., processing, packing, dealing, gear manufacture, etc.?
  - Household income or percentage of household annual income from fishing/fishing related activities, e.g., fishing, processing, packing, dealing, gear manufacture, etc.?
  - Does the respondent belong to any fishing related organizations?
    - If so which one (s)?
  - What is the highest degree or level of school the respondent has completed?

- Marital status
- Number of persons in household
- Religion
- Other types of employment engaged in other than fishing
- Months usually engaged in other employment
- Number of years respondent has fished commercially or in survey fishery
- Crew only: How many captains has the respondent fished with over the last five years?
- Captain only: Years of experience as captain; how many owners has the respondent fished for over the last five years?

### **Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected product recovery rates, product quality and grades, product forms, utilization rates, catch per unit effort, percentage of time spent searching, percentage of time laid up, targeting strategies, fixed and variable costs, input configurations, crew compensation and turnover, vessel investments, your catch share?
- By fishery/gear/season if the season were extended by x days, would this vessel take part in the extended season?
  - If yes, in what activities would the vessel be engaged if the season were not extended?
  - If yes, what would the expected revenues be for this additional period of fishing?
  - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
  - If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
  - If yes, was the vessel obligated to take the entire CDQ contracted for?
  - If yes, did the vessel receive a higher price for products produced from CDQ fish?
  - If yes, were products produced from CDQ fish of a different quality than those produce from non-CDQ fish of the same species?
  - If yes, was the recovery rate different for products processed from CDQ fisheries?
- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
  - What changes in financial performance can be attributed to changes in fishing regulations?
  - What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?

- What additional data (if any) not asked for in this survey might they require?
- Please list the catcher boats that fished on contractual arrangements/market orders for this vessel in period x.
  - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.
- Please list the fish buyers and processors (excluding this vessel) for which this vessel fished on contractual arrangements in period x.
  - Describe the types of contractual arrangement by which fish were supplied to each processor.
- Please indicate to which of the following the vessel sold its products in period x: independent wholesaler, other processors, marketing branch within the same company that owns the vessel, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would harvesting the same quantity of fish over a period x days longer than last season affect catch per unit effort, fish quality, and harvesting cost per metric ton of product?
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?
- By fishery/season, how has harvesting fish over a period x days longer than another past season affected catch per unit effort, targeting strategies, fish quality, and harvesting cost per metric ton of product?
- By fishery/season, how has processing fish over a period x days longer than another past season affected product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?
- What were the estimated daily costs for harvesting and processing by season?

**Attachment L - Federal Register Notice**

proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: June 17, 2003.

**Gwellnar Banks,**

*Management Analyst, Office of the Chief Information Officer.*

[FR Doc. 03-15948 Filed 6-23-03; 8:45 am]

BILLING CODE 3510-22-S

## DEPARTMENT OF COMMERCE

### National Oceanic and Atmospheric Administration

[I.D. 061803H]

#### Proposed Information Collection; Comment Request; Economic Data for U.S. Commercial Fisheries

**AGENCY:** National Oceanic and Atmospheric Administration (NOAA).

**ACTION:** Notice.

**SUMMARY:** The Department of Commerce, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995, Public Law 104-13 (44 U.S.C. 3506(c)(2)(A)).

**DATES:** Written comments must be submitted on or before August 25, 2003.

**ADDRESSES:** Direct all written comments to Diana Hynek, Departmental Paperwork Clearance Officer, Department of Commerce, Room 6625, 14th and Constitution Avenue, NW, Washington, DC 20230 (or via the Internet at [dHynek@doc.gov](mailto:dHynek@doc.gov)).

**FOR FURTHER INFORMATION CONTACT:** Requests for additional information or copies of the information collection instrument and instructions should be directed to Rita Curtis, Department of Commerce, NOAA, National Marine Fisheries Service, 1315 East West Highway, 112752, Silver Spring, MD 20910 (301-713-2328).

#### SUPPLEMENTARY INFORMATION:

#### I. Abstract

Economic data for selected U.S. commercial fisheries will be collected for each of the following groups of operations: (1) processors, including onshore plants, mothership vessels, and at-sea catcher/processor vessels; (2) catcher vessels; and (3) charter vessels. Companies associated with these groups will be surveyed for expenditure, earnings, and employment data; and for basic demographic data on fishing and processing crews.

In general, questions will be asked concerning ex-vessel and wholesale prices and revenue, variable and fixed costs, expenditures, dependence on the fisheries, and fishery employment. The data collection efforts will be coordinated to reduce the additional burden for those who participate in multiple fisheries. Participation in these data collections will be voluntary.

The data will be used for the following three purposes: (1) to monitor the economic performance of these fisheries through primary processing; (2) to analyze the economic performance effects of current management measures; and (3) to analyze the economic performance effects of alternative management measures. The measures of economic performance to be supported by this data collection program include the following: (1) contribution to net national benefit; (2) contribution to income of groups of participants in the fisheries (i.e., fishermen, vessel owners, processing plant employees, and processing plant owners); (3) employment; (4) regional economic impacts (income and employment); and (5) factor utilizations rates. As required by law, the confidentiality of the data will be protected.

A two-prong approach to data collection will be adopted. In the majority of fisheries, data collections will focus each year on a different component of the U.S. commercial fisheries, with only limited data collected in previously-surveyed components of these fisheries. The latter will be done to update the models that will be used to track economic performance and to evaluate the economic effects of alternative management actions. This cycle of data collection will result in economic performance data being available and updated for all the components of the U.S. commercial fisheries identified above.

In a limited number of fisheries, the approach adopted will result in an ongoing economic data collection program. Economic data collection programs will only be initiated in a)

high-profile fisheries with significant seasonal variation; and b) fisheries with an existing data collection program to which economic questions can be appended. Examples of the latter include appending trip-specific economic questions to observer and logbook programs survey vehicles. The number of questions asked under an economic data collection program will be far more limited than those asked in a one-time survey, which have estimated average response times of approximately 10 minutes and two hours, respectively.

Contingent upon OMB approval of this proposed data collection, voluntary surveys currently being conducted under "Economic Performance Data for the West Coast (California-Alaska) Commercial Fisheries" (OMB Number 0648-0369) will be covered under this national umbrella.

#### II. Method of Collection

Data will be collected from a sample of the owners and operators of catcher vessels, catcher/processors, on-shore processing plants, motherships, and charter vessels that participate in these fisheries. In the majority of fisheries, data collection will involve mailing questionnaires to the selected members of each of the different survey groups. In many cases, individuals may receive the questionnaire in advance to allow them to prepare their response but may be interviewed to ensure the clarity of their responses. In those fisheries in which economic questions are appended to an existing program, respondents will be requested to return the completed form along with their regular submission, as appropriate. To the extent practicable, the data collected will consist of data that the respondents maintain for their own business purposes. Therefore, the collection burden will consist principally of transcribing data from their internal records to the survey instrument and participating in personal interviews. In addition, current data reporting requirements will be evaluated to determine if they can be modified to provide improved economic data at a lower cost to the Agency and with reduced burden on potential respondents. Similarly, it will be determined if some of these data can be collected more effectively and efficiently from the firms that provide bookkeeping and accounting services to potential respondents. This data collection method would be used only after obtaining permission to do so from participants in the fisheries.

**III. Data**

OMB Number: None.

Form Number: None.

Type of Review: Regular submission.

Affected Public: Business or other for-profit organizations.

Estimated Number of Respondents: 7,400.

Estimated Time Per Response: 1–2 hours for a response from a catcher vessel (burden estimation calculated using 1.5 hours per response); 1 hour for a response from a charter vessel; 8 hours for a response from a West Coast or Alaska processor, including factory trawlers, motherships and on-shore primary plants processor; 1–2 hours for a response from an East Coast or Gulf processor (burden estimation calculated using 1.5 hours per response); 10 minutes per response to a single trip form; and 20 minutes per response for an annual expenditure form.

Estimated Total Annual Burden Hours: 7,850.

Estimated Total Annual Cost to Public: \$0.

**IV. Request for Comments**

Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: June 17, 2003.

**Gwellnar Banks,**

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 03–15949 Filed 6–23–03; 8:45 am]

**BILLING CODE 3510–22–S**

**DEPARTMENT OF COMMERCE****National Oceanic and Atmospheric Administration**

[I.D. 061803A]

**Marine Mammals; File No. 716–1705**

**AGENCY:** National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Commerce.

**ACTION:** Receipt of application.

**SUMMARY:** Notice is hereby given that Fred Sharpe, Ph.D., Alaska Whale Foundation, 4739 University Way NE, #1239, Seattle Washington 98105, has applied in due form for a permit to take humpback whales (*Megaptera novaeangliae*) and killer whales (*Orcinus orca*) for purposes of scientific research.

**DATES:** Written or telefaxed comments must be received on or before July 24, 2003.

**ADDRESSES:** The application and related documents are available for review upon written request or by appointment in the following offices:

Permits, Conservation and Education Division, Office of Protected Resources, NMFS, 1315 East-West Highway, Room 13705, Silver Spring, MD 20910; phone (301)713–2289; fax (301)713–0376; and Alaska Region, NMFS, P.O. Box 21668, Juneau, AK 99802–1668; phone (907)586–7221; fax (907)586–7249.

**FOR FURTHER INFORMATION CONTACT:** Jill Lewandowski or Gene Nitta, (301)713–2289.

**SUPPLEMENTARY INFORMATION:** The subject permit is requested under the authority of the Marine Mammal Protection Act of 1972, as amended (MMPA; 16 U.S.C. 1361 *et seq.*), the Regulations Governing the Taking and Importing of Marine Mammals (50 CFR part 216), the Endangered Species Act of 1973, as amended (ESA; 16 U.S.C. 1531 *et seq.*), and the regulations governing the taking, importing, and exporting of endangered and threatened species (50 CFR 222–226).

The proposed activities involve research on North Pacific humpback whales and killer whales and are a continuation of studies previously authorized under Permit Nos. 866 and 716–1456. Studies on Pacific herring will also be conducted in order to test various aspects of humpback foraging ecology and social biology. In order to examine the behavior, social structure and foraging ecology of North Pacific humpback whales, the applicant is requesting authorization for 350 annual takes by close approach for photo-

identification and behavioral observation, 280 annual takes by acoustic recordings and playbacks of conspecific sound and 18 annual takes by suction cup tagging with Crittercam/TDR dive tags. The researcher also proposes to continue opportunistic photo-identification and behavioral observation of killer whales and is requesting 300 annual takes for these purposes. All research activities will be conducted over a five year period in the waters of southeastern Alaska including Chatham Strait, Dixon Entrance, Cross Sound, and Icy Strait and the waters of Washington state.

In compliance with the National Environmental Policy Act of 1969 (42 U.S.C. 4321 *et seq.*), an initial determination has been made that the activity proposed is categorically excluded from the requirement to prepare an environmental assessment or environmental impact statement.

Written comments or requests for a public hearing on this application should be mailed to the Chief, Permits, Conservation and Education Division, F/PR1, Office of Protected Resources, NMFS, 1315 East-West Highway, Room 13705, Silver Spring, MD 20910. Those individuals requesting a hearing should set forth the specific reasons why a hearing on this particular request would be appropriate.

Comments may also be submitted by facsimile at (301)713–0376, provided the facsimile is confirmed by hard copy submitted by mail and postmarked no later than the closing date of the comment period. Please note that comments will not be accepted by e-mail or by other electronic media.

Concurrent with the publication of this notice in the **Federal Register**, NMFS is forwarding copies of this application to the Marine Mammal Commission and its Committee of Scientific Advisors.

Dated: June 19, 2003.

**Stephen L. Leathery,**

Chief, Permits, Conservation and Education Division, Office of Protected Resources, National Marine Fisheries Service.

[FR Doc. 03–15952 Filed 6–23–03; 8:45 am]

**BILLING CODE 3510–22–S**



## **Attachment M - List of Contacts:**

### **Industry contacts:**

Tommy Ancona, fisherman, Fort Bragg, CA  
Steve Bodnar, Executive Director, Coos Bay Trawlers  
Jay Bornstein, Bornstein Seafoods  
Ralph Brown, PFMC Council member, harvester, Brookings, OR  
Gene Bugatto, California Shellfish Co.  
Jim Caito, Caito Fisheries  
Tom Casey, AK crab harvester representative  
Barry Cohen, Olde Port Fisheries  
Terry Cosgrove, AK crab  
Frank Dulcich, Pacific Group  
Steve Fick, Fishhawk Fisheries  
Bob Fletcher, Executive Director, Sportfishing Association of California  
John Garner, AK shoreside processor representative  
Gerald Gunnery, trawl harvester  
Kevin Kaldestad, AK crab harvester  
Margaret Hall, AK harvester  
Pete Leipzig, Executive Director, Fishermen's Marketing Association  
Terry Leitzel, Icicle Seafoods  
Rod Moore, Executive Director, West Coast Seafood Processor Association  
Darby Neal, charter boat owner/operator  
Glen Reed, Executive Director, Pacific Seafood Processors Association  
Gary Painter, AK harvester  
Ed Richardson, Economist, At-Sea Processors Association  
Arni Thompson, Executive Director Alaska Crab Coalition  
Doug Wells, AK catcher-processor owner

### **Government contacts:**

Darrell Brannan, North Pacific Fisheries Management Council  
Dave Colpo, Pacific States Marine Fisheries Commission  
Chris Dewees, CA Sea Grant  
Ron Felthoven, National Marine Fisheries Service  
Mark Fina, North Pacific Fisheries Management Council  
Steven Freese, National Marine Fisheries Service  
Ginny Goblirsch, OR Sea Grant  
Jeff Hartman, AK Department of Fish and Game  
Tom Meyer, NOAA General Counsel  
Lew Quierolo, National Marine Fisheries Service  
Mark Saelens, Oregon Dept. of Fish and Game  
James Seger, Pacific Fisheries Management Council  
Wesley Silverthorne, National Marine Fisheries Service  
Dale Squires, National Marine Fisheries Service  
Gil Sylvia, Oregon State University  
Joseph Terry, National Marine Fisheries Service  
Cindy Thomson, National Marine Fisheries Service

**Contractors:**

Hans Radtke, Pacific Fisheries Management Council  
Shannon Davis, Corvallis, OR